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**Work programme of the United Nations Human
Settlements Programme and budget of the United Nations
Habitat and Human Settlements Foundation for the
biennium 2014–2015**

Work programme and budget for the biennium 2014–2015

Report of the Executive Director

Summary

The present document sets out the proposed integrated work programme and budget of the United Nations Habitat and Human Settlements Foundation for the biennium 2014–2015, which is based on the draft six-year strategic plan 2014–2019 that will be submitted for review and approval by the Governing Council at its twenty-fourth session. The budget was prepared in accordance with financial rules 302.1–302.5 of the United Nations Habitat and Human Settlements Foundation. The budget resources are necessary to implement the work programme of the United Nations Human Settlements Programme for the biennium 2014–2015 and to provide the required programme support for effective delivery of the focus areas of the strategic plan for 2014–2019.¹

The Executive Director recommends that the Governing Council of the United Nations Human Settlements Programme approve the work programme and budget of the United Nations Habitat and Human Settlements Foundation for the biennium 2014–2015, as proposed hereinunder.

* HSP/GC/24/1.

¹ All figures are given in United States dollars, unless otherwise stated.

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Abbreviations

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| ACABQ | Advisory Committee on Administrative and Budgetary Questions |
| APMCHUD | Asia-Pacific Ministerial Conference on Housing and Urban Development |
| ASUD | Achieving Sustainable Urban Development Programme |
| ECO | Economic Cooperation Organization (Member countries: Afghanistan, Azerbaijan, Islamic Republic of Iran, Kazakhstan, Kyrgyzstan, Pakistan, Turkey, Tajikistan, Turkmenistan and Uzbekistan) |
| FAO | Food and Agriculture Organization of the United Nations |
| HLCM | High-level Committee on Management |
| HLCP | High-level Committee on Programmes |
| IASC | Inter-agency Standing Committee |
| ICT | Information and communications technology |
| IPSAS | International Public Sector Accounting Standards |
| PAAS | Project accrual and accountability system |
| PSUP | Participatory Slum Upgrading Programme |
| SMART | Specific, measurable, attainable, relevant and time-bound |
| UNDG | United Nations Development Group |
| UNDP | United Nations Development Programme |
| UNEP | United Nations Environment Programme |
| UNISDR | United Nations International Strategy for Disaster Reduction |
| WASH | Water, Sanitation and Hygiene for All initiative |
| WHO | World Health Organization |

I. Introduction

A. Background

1. In accordance with financial rule 302.1 of the United Nations Habitat and Human Settlements Foundation, the Executive Director of the United Nations Human Settlements Programme (UN-Habitat) submits herewith the proposed biennial work programme and budget of the United Nations Habitat and Human Settlements Foundation for the biennium 2014–2015. The work programme builds on the biennial strategic framework for 2014–2015, as amended by the Committee for Programme and Coordination during its fifty-second session, in June 2012.
2. The work programme and budget were informed by a number of documents, including the first report on the proposed programme budget for the biennium 2012–2013 by the Advisory Committee on Administrative and Budgetary Questions (ACABQ) (A/66/7), the report of the Committee for Programme and Coordination (A/67/16) and lessons learned from, among others, the programme performance report for 2010–2011 and the findings of various internal and external evaluation reports. UN-Habitat continues to strengthen its results focus, including through a project-based management approach and a project accrual accountability system (PAAS) which support and integrate financial, administrative, planning, monitoring, reporting and knowledge management.
3. The proposed budget for 2014–2015 is based on an analysis of the resources required for the effective delivery of the strategic results planned for the biennium. It represents an optimal financial proposal to meet the resource requirements to implement the proposed work programme, while taking into account the reality of the global financial climate. It also takes note of measures being undertaken by UN-Habitat to enhance efficiency and productivity to ensure that the reduced level of resources does not impede successful delivery of the normative and operational work of the organization.
4. Following the organizational review and restructuring, seven thematic areas aligned to the organizational structure will be implemented jointly by branches, regional offices and the Project Office. This will be done through a matrix management system which gives the organization the flexibility to deploy existing expertise where it is most needed in the implementation of normative and operational work by UN-Habitat.
5. In keeping with the organizational review, the proposed staffing structure is realigned to seven subprogrammes, corresponding to the seven thematic priorities of the organization. In view of current financial constraints, it is recommended that staffing be maintained at the level of the biennium 2012–2013. Nevertheless, it is imperative that flexibility is provided to enable the organization to meet anticipated future growth. Accordingly, it is proposed that an appropriate vacancy rate be maintained to allow the Executive Director to initiate recruitment within the full staffing table when resources permit.
6. Through its resolution 23/11 of April 2011, the Governing Council requested that the biennial strategic framework and work programme and budget for 2014–2015 should be derived from the six-year strategic plan for 2014–2019. Subject to approval by the Governing Council in April 2013, the strategic plan will be implemented incrementally, through three successive biennial strategic frameworks and work programmes and budgets.
7. Following the endorsement of the six-year strategic plan by the Committee of Permanent Representatives in June 2012 and in line with the road map, UN-Habitat developed a results framework comprising refined expected accomplishments and indicators of achievement of the biennial strategic framework for 2014–2015. The aim was to ensure that successive biennial strategic frameworks and work programmes and budgets would have indicators that fully meet the SMART criteria (specific, measurable, achievable, realistic and time-bound) and are more measurable, in line with recommendations of the United Nations Board of Auditors (A/67/319/Add.1) and results-based management principles.
8. In order fully to align the strategic plan and the biennial work programme and budget for 2014–2015 and to eliminate separate reporting on the two documents, UN-Habitat amended a number of the expected accomplishments and indicators in the work programme and budget for 2014–2015, in line with the refined expected accomplishments and indicators of the results framework of the six-year strategic plan. This was intended to avert the heavy reporting burden that characterized the first four years of implementing the medium-term strategic and institutional plan for 2008–2013, when the organization reported progress made on the biennial work programme and budget and the six-year strategic plan separately. Several evaluations, including the 2010 peer review of the implementation of the medium-term strategic and institutional plan, stressed the need for harmonizing reporting

requirements. The amendments were made with the concurrence of the Committee of Permanent Representatives, which worked closely with the secretariat of UN-Habitat on the present document.

B. Programme overview

9. UN-Habitat serves as the focal point for the implementation of the human settlements programme within the United Nations system. The mandate of UN-Habitat derives from the Habitat Agenda, adopted by the United Nations Conference on Human Settlements (Habitat II) in Istanbul, Turkey, in 1996. The twin goals of the Habitat Agenda are adequate shelter for all and the development of sustainable human settlements in an urbanizing world. The UN-Habitat mandate is also derived from General Assembly resolution 3327 (XXIX), by which the Assembly established the United Nations Habitat and Human Settlements Foundation; resolution 32/162, by which the Assembly established the United Nations Centre for Human Settlements (Habitat); and resolution 56/206, by which the Assembly transformed the Commission on Human Settlements and the United Nations Centre for Human Settlements (Habitat), including the United Nations Habitat and Human Settlements Foundation, into UN-Habitat. The mandate of UN-Habitat is further derived from other internationally agreed development goals, including those contained in the United Nations Millennium Declaration (Assembly resolution 55/2), in particular the target on achieving a significant improvement in the lives of at least 100 million slum-dwellers by the year 2020; and the target on water and sanitation of the Plan of Implementation of the World Summit on Sustainable Development, which seeks to halve, by the year 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation. Through Assembly resolution 65/1, Member States committed themselves to continue working towards cities without slums, beyond current targets, by reducing slum populations and improving the lives of slum-dwellers.

10. The Governing Council of UN-Habitat, through its resolution 23/11 of 15 April 2011, requested the Programme to prepare a six-year strategic plan for the period 2014–2019, which forms the basis for the strategic framework and the work programme and budget for the biennium 2014–2015. The plan takes into account the lessons learned from the implementation of the medium-term strategic and institutional plan of 2008–2013, outlined in a peer review of the medium-term strategic and institutional plan and biannual progress reports on the implementation of the plan. The overall orientation and programme narrative of the programme budget is different from that of the strategic framework that was reviewed by the Committee on Programme and Coordination in June 2012. This is because the strategic framework was prepared before much progress had been made in the development of the six-year strategic plan for 2014–2019, to which both the strategic framework and programme budget documents are intended to be aligned. Following the completion of the strategic plan in August 2012, the programme narratives of the programme budget were amended to align them to those of the six-year strategic plan, in line with resolution 23/11 of the Governing Council of UN-Habitat. Accordingly, the strategic framework will be submitted to the Committee on Programme and Coordination for its review.

11. A peer review of the implementation of the medium-term strategic and institutional plan (2008–2013) carried out in 2010 recommended that the next Executive Director of UN-Habitat should consider a new organizational structure with the aim of achieving better alignment with the focus areas of the plan. Achievement of results within the focus areas of the plan should be the primary motivation for any such reorganization. UN-Habitat started the review of its organizational structure in February 2011. The new organizational structure took into account the following key recommendations of the peer review: establishment of an organizational structure to ensure better attainment of planned results; establishment of a unified planning, monitoring and reporting function; transparent definition of programme priorities; and establishment of an independent evaluation function. The new organization structure is aligned with the programme structure, thus simplifying accounting and reporting, and enhancing accountability and transparency.

12. The following seven substantive thematic subprogrammes are aligned with the new structure, and their results will be delivered by seven different thematic branches, regional offices and the Project Office:

- (a) Subprogramme 1: Urban legislation, land and governance;
- (b) Subprogramme 2: Urban planning and design;
- (c) Subprogramme 3: Urban economy;
- (d) Subprogramme 4: Urban basic services;
- (e) Subprogramme 5: Housing and slum upgrading;

- (f) Subprogramme 6: Risk reduction and rehabilitation;
- (g) Subprogramme 7: Research and capacity development.

13. Cities are facing unprecedented demographic, environmental, economic, social and spatial challenges. There has been a phenomenal shift towards urbanization, with 6 out of every 10 people in the world expected to be residing in urban areas by 2030. Over 90 per cent of this growth will take place in Africa, Asia, Latin America and the Caribbean. In the absence of effective urban planning, one of the most significant challenges today and in the coming decades is how to address the housing, water supply and sanitation needs of a rapidly urbanizing population. The developing countries, many of which are ill-equipped to address such challenges, have to deal with a youth bulge, in which 60 per cent of their urban inhabitants will be under the age of 18 by 2030. Conversely, most developed countries and countries with economies in transition, together with certain developing countries, face the challenge of an ageing urban population and declining fertility that requires increased health-care, recreation, transportation and other facilities for the elderly.

14. Climate change, a significant environmental challenge, poses a serious threat to sustainable urbanization, with cities contributing significantly towards global warming and up to 70 per cent of global greenhouse gas emissions. This negatively affects the estimated 1 billion vulnerable slum-dwellers who are not adequately protected by construction and land-use planning regulations, and who do not possess sufficient resources to improve their own lives. In many developing countries, changes in agricultural productivity are caused by multiple factors, including climate change-related shifts in weather patterns, under-investment in agriculture and conflict over scarce resources. Such factors are partly responsible for pushing many rural residents into urban areas. Experience shows that most cities in developing countries lack the capacity to formulate and implement climate change mitigation and adaptation measures, or to build the resilience necessary to respond effectively to climate change-related and other disasters.

15. Waste management and sanitation is another major environmental concern. Managing the built environment while coping with environmental pollution and degradation has become a major challenge in the cities of developed countries and an overwhelming one for many cities in the developing world, with fewer than 35 per cent of them able to treat their wastewater. Between one third and one half of the solid waste generated within most cities in low and middle-income countries is not collected. Worldwide, 2.5 billion people lack basic sanitation and 1.2 billion lack access to safe drinking water. Although the Millennium Development Goals target on drinking water has been achieved, progress in this area has been uneven, with only 61 per cent of the people in sub-Saharan Africa having access to improved water supply sources, compared with 90 per cent or more in Latin America and the Caribbean, Northern Africa and large parts of Asia.

16. Owing to the global economic crisis that started in 2008, urbanization is taking place within the context of a relatively weakened global economy, with reduced investment prospects. The slump in economic growth could adversely affect slum upgrading and prevention programmes, urban renewal and poverty-reduction initiatives, which traditionally rank low in priority and seriously threaten the possibility of achieving the targets of the Millennium Development Goals. Unemployment remains high, with the global unemployment rate for 2010 being 6.2 per cent and youth unemployment being three times higher than that of adults globally.

17. Social challenges reflect the impact of demographic, economic and possibly environmental factors, and include increasing levels of poverty within urban areas, the proliferation of slums, increasing levels of inequality and rising crime rates. Urban poverty is also associated with social exclusion. In certain contexts, the presence of displaced populations adds an additional layer of complexity to issues of urban poverty. Although urbanization brings with it many problems, it also offers many opportunities for the diversification of strategies to mitigate and adapt to climate change, especially through urban planning and design.

18. During the 2014–2015 period, UN-Habitat will implement its programme of work through seven thematic subprogrammes. As the United Nations focal point on human settlements, the Programme will lead advocacy efforts to raise awareness on sustainable urbanization issues; provide evidence-based policy advice; build capacity; develop tools, norms and standards based on best practice; work on demonstration projects; and provide assistance to Governments, local authorities and other public institutions responsible for urban issues. UN-Habitat regional offices will play a critical role in implementing programmes and projects at the country and regional levels, working closely with partners and other United Nations agencies.

19. Subprogramme 1 (Urban legislation, land and governance), will provide policy and operational support to Governments and cities in respect of urban governance, legislation and land. Building on the

experience of the Global Land Tool Network and in partnership with local government organizations, UN-Habitat will address existing urban land problems and opportunities as requested by member States and will support the development of adequate legislation and governance models for intermunicipal cooperation. In addition, it will promote the international guidelines on decentralization and strengthening of local authorities and on access to basic services for all, as well as social inclusion and participation.

20. Subprogramme 2 (Urban planning and design) will provide city and national governments with a set of tested approaches, guidelines and tools to support the management of growth and improved sustainability, efficiency and equity of cities through planning and design at different scales, namely the slum and neighbourhood, city, regional, national and supranational scales. This subprogramme will also focus on the ways in which urban planning and design can enhance action on climate change mitigation and adaptation. Special attention will be paid to promoting a number of critical principles within the context of decentralization and multilevel governance, such as optimizing the population and economic density of urban settlements and, where appropriate, mixed land use, diversity and improved connectivity.

21. Subprogramme 3 (Urban economy) will promote urban strategies and policies that strengthen the capacity of cities to realize their potential as engines of economic development and also enhance their contribution to employment and wealth creation. The subprogramme will, in particular, contribute to the formulation and implementation of effective urban strategies and policies supportive of local economic development, the creation of decent urban jobs and livelihoods, especially for young people, and enhanced municipal finance. UN-Habitat will work on the implementation of the outcome of the United Nations Conference on Sustainable Development regarding sustainable development and poverty eradication, as applicable to urban development.

22. Subprogramme 4 (Urban basic services) will focus on strengthening policies and institutional frameworks for expanding access to urban basic services, specifically targeted at the urban poor. Policy and technical assistance will be provided to partner countries and local authorities. The subprogramme will have four programmatic clusters, namely water and sanitation, urban waste management, urban mobility and urban energy.

23. Subprogramme 5 (Housing and slum upgrading) will advocate a twin-track approach that focuses on improving the supply and affordability of new housing through the supply of serviced land and housing opportunities at scale, which could curb the growth of new slums, alongside the implementation of city-wide and national slum-upgrading programmes that could improve housing conditions and quality of life in existing slums. In this work, the subprogramme will promote the active participation of residents and grass-roots organizations in the formulation, prioritization, implementation and post-implementation phases of both formal housing development and slum upgrading.

24. Subprogramme 6 (Risk reduction and rehabilitation) will engage in both reducing urban risk and responding to urban crises through its Resilient Cities Programme and Settlements Recovery Programme, respectively, in partnership with the United Nations International Strategy for Disaster Reduction (UNISDR) and the Making Cities Resilient Campaign. The subprogramme will address crisis-affected cities in terms of both disaster prevention and disaster response. The five key entry points for urban risk reduction and post-crisis reconstruction will be: shelter and housing; basic infrastructure and services; land use and tenure; climate change and urban environment; and economic recovery and livelihoods.

25. Subprogramme 7 (Research and capacity development) will monitor the slum target of the Millennium Development Goals and, in general, the Habitat Agenda. The Global Report on Human Settlements and the State of the World's Cities will report the results of global monitoring and assessment work to Governments and Habitat Agenda partners. UN-Habitat will publish official statistics globally through the Urban Indicators Programme and support the production of local urban knowledge and the establishment of urban platforms, the urban observatories that collect and analyse data on indicators. Information and knowledge on best practice and lessons learned in terms of policies, programmes and institutional arrangements that are fit for purpose for different urban contexts and urban services delivery systems will be collected and disseminated as part of an organization-wide cross-cutting activity. They will be collected from programmes implemented by the organization and by Habitat Agenda partners. Such knowledge will be used to inform the design of new programmes by the organization and its partners, as well as in capacity development and advisory services. Also at the country level, the subprogramme will provide expertise in developing institutional and individual capacity to ensure that the delivery of evidence-based policies and programmes benefit urban stakeholders.

26. The UN-Habitat six-year strategic plan is implemented through the biennial work programmes and budgets. All technical cooperation work undertaken by UN-Habitat is fully aligned to and contributes to the planned results or expected accomplishments of the approved biennial work programme and budget. This applies to all work undertaken, including demand-driven or crisis-related activities. UN-Habitat has put in place systems and tools to strengthen the linkage between all programmes and projects undertaken in the field to the approved work programme and budget. All projects developed use templates that require a clear and verifiable linkage between the six-year strategic plan, the biennial work programme and budget and the proposed projects. Senior managers and the programme advisory groups are responsible for ensuring that there is clear programmatic alignment to planned results and outputs.

27. Delivery of the UN-Habitat work programme at the regional and country levels is led by the regional offices, taking into account national priorities highlighted by UN-Habitat country programme documents and national urban policies developed under the guidance of UN-Habitat. Regional offices will operate, where possible, within the United Nations Development Assistance Framework to deliver as one with sister agencies. To ensure that the normative functions of UN-Habitat are mainstreamed into technical cooperation activities, relevant thematic branches take an active role in concept development, planning, implementation and evaluation of technical cooperation field projects. Lessons learned from country programmes are also integrated into updated policies and strategies.

28. In order to address the disparities between men and women in decision-making at all levels and the differences in access to land and housing, and also to ensure that they participate in and benefit from UN-Habitat normative and operational programmes, UN-Habitat will assess the gender implications of all planned normative and operational programmes and will work with the Advisory Group on Gender Issues to enhance gender-sensitive interventions and policies that support women. The efforts undertaken by UN-Habitat to promote the access of women to shelter will continue to be strengthened, in line with the 2005 World Summit outcome document (General Assembly resolution 60/1).

29. Special attention will also be given to other cross-cutting issues, such as youth, human rights, partnerships and climate change. All cross-cutting issues will be mainstreamed throughout the seven subprogrammes, ensuring that all policies, knowledge management tools and operational activities incorporate these issues in their design and implementation. Work on the cross-cutting issues will follow a two-track approach, consisting of mainstreaming and issue-specific projects. Mainstreaming of cross-cutting issues will ensure that these issues are integrated in the work of all focus areas, both conceptually and in operational projects. Issue-specific projects will seek to fill identified gaps in the field and will be located in the appropriate subprogramme. Specific normative and operational projects will be located in the most appropriate subprogramme, depending on their substantive content. The Project Office will be responsible for mainstreaming cross-cutting issues across all seven subprogrammes.

30. Under the coordination of the Project Office, project advisory groups and in-house peer-review mechanisms will ensure that cross-cutting issues are consistently incorporated into all projects at the design stage, during implementation and at completion. This will be done systematically for all project documents. The environmental issues to be considered include ecological impact, necessary safeguards to prevent negative environmental and social impact and, ways of safeguarding the ecological environment during and after the project. Gender issues will focus on the inclusion and participation of women in project implementation, including in ways in which the project will improve their status and gender equality, and the benefits that they will derive from the project, as well as resources set aside for gender issues by the project. The human rights issues to be considered include safeguards that the project will put in place to ensure that human rights are not violated during the implementation of the project (through evictions or discrimination, for example), and ensuring that indicators are put in place to monitor human rights progress.

31. While each branch will lead the implementation of its corresponding subprogramme, all branches will work closely together and will collaborate in implementing planned activities. Results-based management will continue to shape programme planning and implementation, monitoring and reporting, as well as the evaluation of UN-Habitat.

32. During the period 2014–2015, UN-Habitat will evaluate a significantly higher proportion of projects and programmes. The evaluation plan will be prioritized to ensure adequate coverage of the work of the organization, including programme and project evaluations, thematic evaluations, evaluation of normative work and evaluation of emergency-type interventions. The programme of work will also incorporate lessons learned, best practice, and the conclusions and recommendations

from evaluations and the sessions of the World Urban Forum. Particular efforts will be made to promote North-South and South-South cooperation and exchange of experience, and also triangular cooperation.

33. In executing its programme of work, UN-Habitat will cooperate and collaborate with other United Nations organizations to deliver its planned global results. It will work closely with Governments, local authorities, international financial institutions, regional development banks, public-private partnerships, UN-Habitat national forums, academic and research institutions and other Habitat Agenda partners, in line with its partnership strategy. The biennial World Urban Forum to be held in 2014 and the World Urban Campaign, launched in March 2010, are mechanisms that can be used to promote global advocacy on human settlement issues and cooperation with Governments and Habitat Agenda partners.

34. Within the United Nations, UN-Habitat will cooperate with the United Nations Environment Programme (UNEP) on urban environment assessments, resource-efficient cities, green buildings and sustainable housing and land; the United Nations Centre for Regional Development on capacity-building for urban planners; the United Nations Framework Convention on Climate Change on urban climate-change planning; the Convention on Biological Diversity on cities and biodiversity; the United Nations Development Programme (UNDP) on local governance issues, training and capacity-building skills, disaster risk reduction and recovery; United Nations Office for Disaster Risk Reduction, on implementation of the City Resilience Profiling Programme and the campaign to make cities resilient; the Food and Agriculture Organization of the United Nations (FAO) on urban and peri-urban agriculture and land; the World Health Organization (WHO) on urban planning guidelines, the Safer Cities Programme, and urban indigenous peoples and health issues, the United Nations Educational, Scientific and Cultural Organization (UNESCO) on urban planning related to cultural heritage sites and migration; United Nations Department of Economic and Social Affairs and the United Nations regional commissions on follow-up to the United Nations Conference on Sustainable Development (Rio+20); the Office of the United Nations High Commissioner for Refugees (UNHCR) on shelter issues for refugees; the United Nations Children's Fund on the Urban Emergency Response Strategy and the Safer Cities Programme; the United Nations Office for the Coordination of Humanitarian Affairs on coordination of the response to post-crisis emergencies; the United Nations Entity for Gender Equality and the Empowerment of Women on gender mainstreaming, the empowerment of women and the Safer Cities Programme; the United Nations Office on Drugs and Crime on the Safer Cities Programme; the World Bank Institute on slum upgrading and prevention case studies; and the Office of the United Nations High Commissioner on Human Rights on mainstreaming housing rights under the United Nations Housing Rights Programme. UN-Habitat also collaborates with many United Nations agencies on the United Nations Development Assistance Framework and under the "Delivering as one" initiative at the country level.

35. To ensure that there is no duplication or overlap in the work programmes of different agencies and organizations within the United Nations Secretariat, the Executive Committee on Economic and Social Affairs circulates the draft work programmes of different agencies and convenes e-meetings to review such work programmes, provide comments and adjust the work programmes as necessary or make arrangements for further collaboration.

1. Emerging issues and key lessons learned from the World Urban Forum

36. The World Urban Forum was established by the United Nations to examine one of the most pressing problems facing the world today: rapid urbanization and its impact on communities, cities, economies, climate change and policies. The World Urban Forum is convened pursuant to paragraph 10 of resolution 18/5 of the Commission on Human Settlements, in which the Commission requested the Executive Director to promote a merger of the Urban Environment Forum and the International Forum on Urban Poverty into a new urban forum, with a view to strengthening the coordination of international support to the implementation of the Habitat Agenda. Subsequently, the United Nations General Assembly decided, by its resolution 56/206, that the Forum would be a non-legislative technical forum in which experts could exchange views in the years when the Governing Council of the United Nations Human Settlements Programme did not meet. At the same session, the General Assembly, in paragraph 7 of its resolution 56/205, encouraged local authorities and other Habitat Agenda partners to participate, as appropriate, in the World Urban Forum in its role as an advisory body to the Executive Director of UN-Habitat.

37. The Forum is conceived as a platform in which various stakeholders and Governments can discuss ways to build a more prosperous and sustainable urban future. The Forum promotes the strong participation of Habitat Agenda partners and relevant international programmes, funds and

agencies, thus ensuring their inclusion in the identification of new issues, the sharing of lessons learned and the exchange of best practice and good policies.

38. The Forum is also intended to guide and enrich sustainable urban development policies promoted by UN-Habitat through open dialogue. The comparatively informal nature of the Forum, arising from its non-legislative status, gives it an unusual advantage. The resulting synergy between different stakeholders has promoted a better understanding and appreciation of the challenges of rapid urbanization.

39. At its sixth session, held in Naples, Italy, in September 2012, the World Urban Forum focused on various issues related to the theme of “Urban future”. A range of initiatives and commitments to improve sustainable urban development were identified. Emerging issues and key lessons from the event, which inform the work programme for the biennium 2014–2015, include the following:

(a) The third United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in 2016 will represent a milestone in the campaign to reinvigorate the global commitment to sustainable urbanization, increase advocacy on urban challenges and raise awareness of the key role played by UN-Habitat in that endeavour;

(b) The concept of the prosperity of cities should go beyond the economic dimension, and should include other vital dimensions that contribute to the quality of life of urban dwellers. The City Prosperity Index, which has been launched by UN-Habitat as a tool to measure urban well-being, has potential in this regard;

(c) As local authorities have proved to be a widely recognized key Habitat Agenda partner in the preparations for Habitat III, UN-Habitat should place its strategic focus on facilitating the engagement of cities in dialogue both with central Government and citizens through effective policy platforms and service provision frameworks;

(d) Urgent attention should be given to the urban economy and, in particular, job creation. In that respect, deliberate efforts should be made to reduce disadvantageous urban economies – what are termed “urban diseconomies” – at all levels and to empower women and youth;

(e) The fundamental issues of access to land for the urban poor, affordable housing and the strengthened provision of public spaces and services must be embedded in the concept of the right to the city, fostered since the fifth session of the World Urban Forum and necessary for the attainment of equitable and sustainable urbanization;

(f) All Governments should prepare effective national urban policies as central frameworks for integrated and participatory planning towards sustainable urbanization and resilient cities;

(g) Planned enlargements of cities are necessary measures in response to the widespread phenomenon of informal urban development, including the chaotic expansion of urban peripheries;

(h) As previously affirmed at the United Nations Conference on Sustainable Development summit, sustainable urban mobility and energy are central to achieving sustainable development and to enhancing economic growth and integration, while conserving the environment and improving accessibility;

(i) UN-Habitat should continue to support the inclusive nature of the World Urban Forum through the presence of women, youth and representatives of the least developed countries in World Urban Forum discussions and events on sustainable urban development, and also through the enhanced presence of non-traditional sectoral constituencies, in keeping with the integrated approach promoted by the Forum;

(j) The World Urban Campaign is consolidating and strengthening its capacity as an innovative platform for the engagement and mobilization of new emerging groups, along with traditional partners, in World Urban Forum sessions and for the promotion of such strategic medium-term processes as the United Nations development agenda beyond 2015 and Habitat III. National Habitat committees, national urban forums, national urban campaigns and campaigns held under the slogan “I’m a city changer” represent additional key strategic platforms for promoting the Forum and advancing the Habitat Agenda and the work of UN-Habitat;

(k) The successful use of information and communications technology and outreach through social networking for the first time at the World Urban Forum, including such media as the Internet, UNTV, Twitter, Facebook and Webnews, points to the high potential for extending UN-Habitat outreach activities to a wider audience, so as to foster awareness, participation and

collaboration between all partners, including the general public. UN-Habitat should invest in the use of such tools for improved information, media outreach and participatory processes;

(l) Media-specific actions should be implemented at the regional level in order to improve media coverage of the World Urban Forum. The corporate identity of the Forum and what might be termed an “out-of-the-silo culture” should be reflected in all public material produced for and during sessions of the World Urban Forum.

2. Financial overview

40. The financial framework of UN-Habitat comprises three sources of funding: United Nations regular budget allocations approved by the General Assembly; United Nations Habitat and Human Settlements Foundation contributions, for which the general purpose budget allocations are approved by the Governing Council and special purpose budget allocations are approved by the Executive Director; and technical cooperation contributions, for which the budget allocations are also approved by the Executive Director.

41. Regular budget appropriations are approved by the General Assembly and fall into two main categories, namely section 15 (Human settlements) and section 23 (Regular programme of technical cooperation), for sectoral advisory services in the field of human settlements and sustainable urban development.

42. The contributions to the United Nations Habitat and Human Settlements Foundation are of two kinds: general purpose and special purpose. General purpose contributions are non-earmarked voluntary contributions from Governments for which budget allocations are approved by the Governing Council in accordance with agreed priorities to support the implementation of the approved UN-Habitat work programme. Special purpose contributions are earmarked voluntary contributions from Governments and other donors for the implementation of specific activities that are included in the work programme and consistent with the UN-Habitat mandate.

43. Technical cooperation contributions are earmarked voluntary resources from Governments and other donors for the implementation of specific technical country-level activities, consistent with the UN-Habitat mandate and work programme.

44. The consolidated and harmonized 2014–2015 programme budget has been prepared following an analysis of the projected income from the three sources of funding for the biennium 2014–2015, taking into consideration the current global economic climate. The budget also takes into account resource requirements for the implementation of the proposed biennial work programme.

3. Resource plan

45. The overall resource requirements for UN-Habitat for the biennium 2014–2015 are projected at \$392.4 million, reflecting a nominal increase of 0.1 per cent over the \$391.9 million estimated for the biennium 2012–2013. In real terms, this represents a reduction in the budget of 8 per cent. The reduction in resource requirements takes into account austerity and efficiency measures put into place in the organization to respond to the global financial situation. Table 1 (a) shows resource requirements by source of funds and expenditure category, while table 1 (b) gives a breakdown by funding category.

46. Of the total requirements of \$392.4 million, \$70 million is required to fund 281 core posts. In addition to the core posts, UN-Habitat depends on over 2,000 project staff funded from earmarked funds to support the delivery of projects at the country level. Figure 1 shows the relative proportion of staff costs by funding source from the biennium 2004–2005 to the biennium 2012–2013.

Figure 1
Posts and other staff costs 2004–2013



Table 1 (a)
Resource requirements by source of funds

| Category | Resources (thousands of United States dollars) | | | | Posts | | |
|----------------------------------|--|-----------------------------|-------------------|----------------------|----------------------------|---------------|---------------|
| | Actual 2010–2011 | Appropriations 2012–2013 | Change Amount | Percentage Change | Estimates 2014– 2015 | 2012– 2013 | 2014– 2015 |
| Foundation general purpose | | | | | | | |
| Post | 26 029.3 | 39 446.0 | (8 538.2) | | 30 907.8 | 130 | 130 |
| Non-post | 13 526.5 | 30 775.7 | (16 066.1) | | 14 709.6 | - | - |
| Subtotal | 39 555.8 | 70 221.7 | (24 604.3) | (35) | 45 617.4 | 130 | 130 |
| Regular budget | | | | | | | |
| Post | 21 380.8 | 18 847.5 | - | | 18 847.5 | 75 | 75 |
| Non-post | 2 099.3 | 2 221.0 | 72.1 | | 2 293.1 | - | - |
| Subtotal | 23 480.1 | 21 068.5 | 72.1 | 0 | 21 140.6 | 75 | 75 |
| Foundation special purpose | | | | | | | |
| Post | 7 660.0 | 9 407.9 | (3 195.9) | | 6 212.0 | 30 | 30 |
| Non-post | 77 900.6 | 101 117.0 | 15 858.8 | | 116 975.8 | - | - |
| Subtotal | 85 560.6 | 110 524.9 | 12 662.9 | 11 | 123 187.8 | 30 | 30 |
| Technical cooperation | | | | | | | |

| | | | | | | | |
|-------------------|------------------|------------------|-----------------|----------|------------------|------------|------------|
| Post | 12 210.3 | 12 134.3 | 1 856.1 | | 13 990.4 | 46 | 46 |
| Non-post | 288 891.8 | 177 895.9 | 10 596.1 | | 188 492.0 | - | - |
| Subtotal | 301 102.1 | 190 030.2 | 12 452.2 | 7 | 202 482.4 | 46 | 46 |
| Total by category | | | | | | | |
| Post | 67 280.4 | 79 835.7 | (9 878.0) | | 69 957.7 | 281 | 281 |
| Non-post | 382 418.2 | 312 009.6 | 10 460.9 | | 322 470.5 | | |
| Total | 449 698.6 | 391 845.3 | 582.9 | 0 | 392 428.2 | 281 | 281 |

Note A: Posts funded from earmarked funds (including trust funds) have been excluded from the 2014–2015 staffing tables. These posts are of a temporary nature and the levels are subject to frequent changes according to programme and project activity requirements.

Note B: Corresponding programme support accounts (overhead accounts) are included in the Foundation special purpose and technical cooperation resources.

Table 1 (b)
Resource requirements by funding category

| Category | <i>Resources (thousands of United States dollars)</i> | | |
|---|---|--------------------------------|----------------------------|
| | <i>Actual 2010–2011</i> | <i>Appropriation 2012–2013</i> | <i>Estimates 2014–2015</i> |
| Core resources | | | |
| Foundation general purpose | 39 555.8 | 70 221.7 | 45 617.4 |
| Regular budget | 23 480.1 | 21 068.5 | 21 140.6 |
| Foundation special purpose – programme support (overhead) account | 9 160.0 | 12 988.0 | 10 171.4 |
| Technical cooperation – programme support (overhead) account | 16 370.5 | 15 929.4 | 17 382.6 |
| Subtotal | 88 566.4 | 120 207.6 | 94 312.0 |
| Earmarked resources (including trust funds) | | | |
| Foundation special purpose | 76 400.6 | 97 536.9 | 113 016.4 |
| Technical cooperation | 284 731.6 | 174 100.8 | 185 099.8 |
| Subtotal | 361 132.2 | 271 637.7 | 298 116.2 |
| Total | 449 698.6 | 391 845.3 | 392 428.2 |

47. The resource estimates of the organization for the biennium 2014–2015 are aligned to the seven strategic priorities highlighted by the UN-Habitat organizational review under way in 2012 (figure 2). These seven strategic areas, also outlined in the proposed 2014–2019 strategic plan, correspond to the seven UN-Habitat subprogrammes. Table 2 restates the estimated resources for the biennium 2012–2013 according to the seven strategic areas and presents resource requirements for the biennium 2014–2015. Resources are categorized by source of funding and type of expenditure.

48. The allocation of resources across the seven strategic priorities (figure 2) is based on an analysis of resource requirements for each strategic area, based on the planned portfolio of work for each area for the biennium 2014–2015. A balanced approach in the allocation of resources ensures that the role of each strategic priority in delivering the programme of work is accurately represented.

Figure 2
Allocation of resources by strategic priority

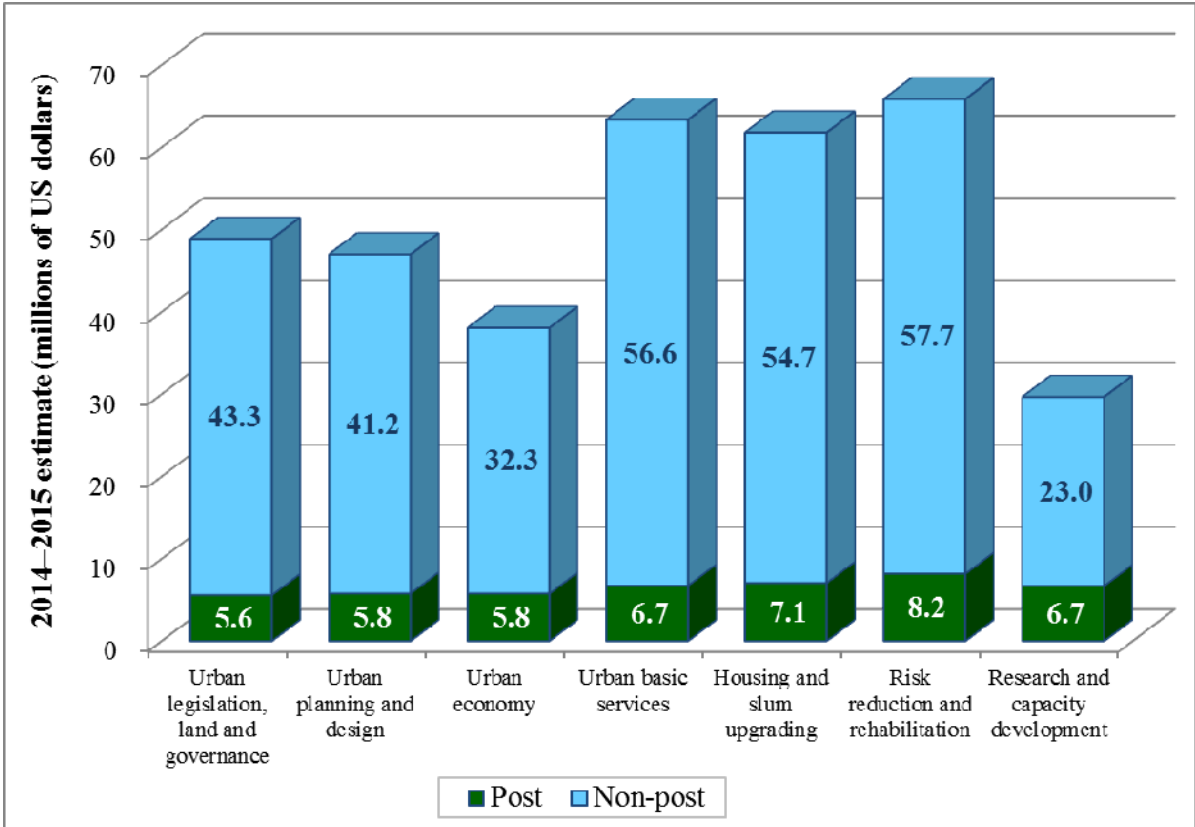


Table 2

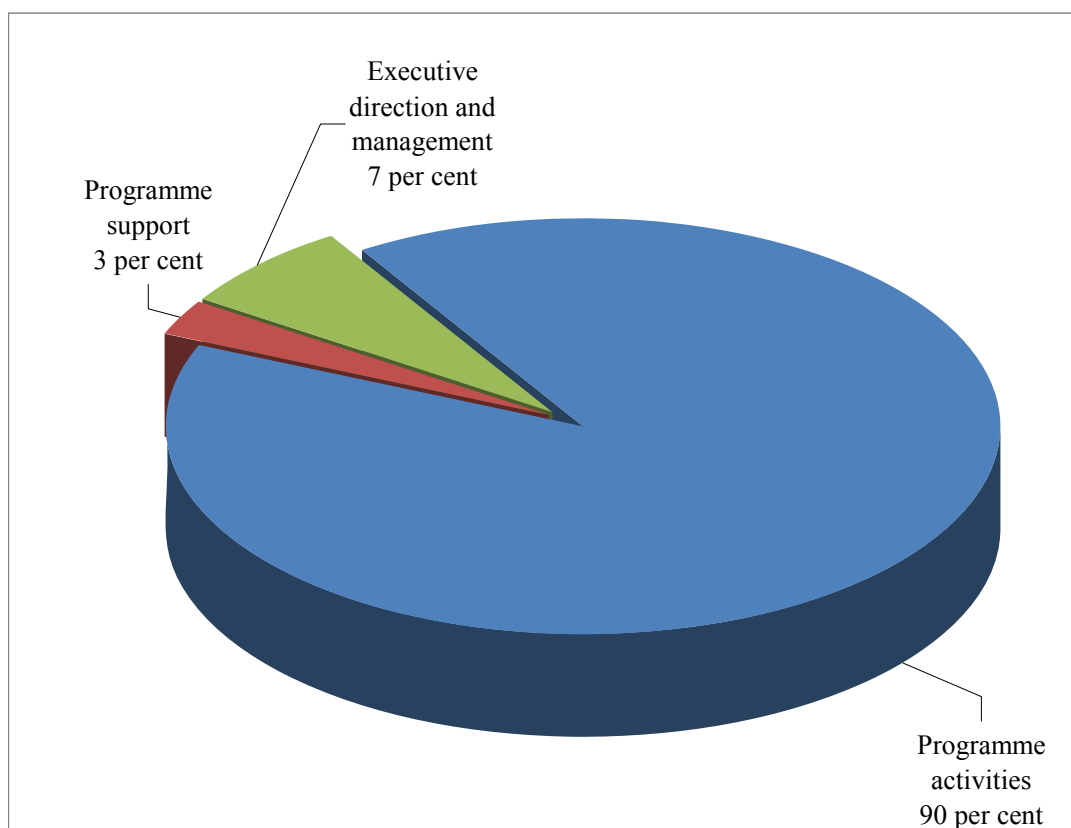
Appropriations for the biennium 2012–2013 and resource requirements for the biennium 2014–2015 by source of funding and expenditure category across the 2014–2015 strategic framework priorities (thousands of United States dollars)

| | <i>Subprogramme 1: Urban legislation, land and governance</i> | <i>Subprogramme 2: Urban planning and design</i> | <i>Subprogramme 3: Urban economy</i> | <i>Subprogramme 4: Urban basic services</i> | <i>Subprogramme 5: Housing and slum upgrading</i> | <i>Subprogramme 6: Risk reduction and rehabilitation</i> | <i>Subprogramme 7: Research and capacity development</i> | <i>Executive direction and management and policymaking organs</i> | <i>Programme support</i> | Total | |
|---|---|--|--------------------------------------|---|---|--|--|---|--------------------------|------------------|------------------|
| 2012–2013 approved appropriation | Source of funds | | | | | | | | | | |
| | Foundation general purpose | 5 964.5 | 5 848.8 | 6 123.7 | 5 024.8 | 6 004.1 | 6 973.7 | 6 499.6 | 21 627.0 | 6 155.5 | 70 221.7 |
| | Regular budget | 2 626.3 | 1 764.5 | 2 992.4 | 2 076.0 | 839.3 | 887.8 | 3 875.2 | 4 081.3 | 1 925.7 | 21 068.5 |
| | Foundation special purpose | 7 726.2 | 12 082.9 | 8 268.7 | 55 018.5 | 5 916.3 | 5 253.2 | 4 620.1 | 7 528.5 | 4 110.5 | 110 524.9 |
| | Technical cooperation | 21 857.6 | 27 813.4 | 16 280.9 | 27 303.6 | 29 662.0 | 60 337.1 | 5 440.4 | 649.2 | 686.0 | 190 030.2 |
| | Total | 38 174.6 | 47 509.6 | 33 665.7 | 89 422.9 | 42 421.7 | 73 451.8 | 20 435.3 | 33 886.0 | 12 877.7 | 391 845.3 |
| | Expenditure category | | | | | | | | | | |
| | Post | 6 546.1 | 6 488.2 | 6 481.4 | 5 361.1 | 8 305.3 | 8 412.0 | 7 186.9 | 21 957.2 | 9 097.5 | 79 835.7 |
| | Non-post | 31 628.5 | 41 021.4 | 27 184.3 | 84 061.8 | 34 116.4 | 65 039.8 | 13 248.4 | 11 928.8 | 3 780.2 | 312 009.6 |
| Total | 38 174.6 | 47 509.6 | 33 665.7 | 89 422.9 | 42 421.7 | 73 451.8 | 20 435.3 | 33 886.0 | 12 877.7 | 391 845.3 | |

| | | | | | | | | | | | |
|---------------------|-----------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|-----------------|------------------|
| 2014–2015 estimates | Source of funds | | | | | | | | | | |
| | Foundation general purpose | 3 113.2 | 4 236.9 | 3 348.6 | 3 889.8 | 3 637.6 | 4 426.2 | 4 453.4 | 13 775.7 | 4 736.0 | 45 617.4 |
| | Regular budget | 2 626.3 | 1 764.5 | 2 992.4 | 2 076.0 | 839.3 | 887.8 | 3 875.2 | 4 153.4 | 1 925.7 | 21 140.6 |
| | Foundation special purpose | 25 720.6 | 14 362.2 | 6 472.2 | 38 985.5 | 4 944.5 | 13 227.5 | 7 435.8 | 9 028.3 | 3 011.2 | 123 187.8 |
| | Technical cooperation | 15 531.3 | 28 516.4 | 25 242.7 | 18 412.4 | 52 378.6 | 47 321.7 | 13 895.5 | 604.5 | 579.3 | 202 482.4 |
| | Total | 46 991.4 | 48 880.0 | 38 055.9 | 63 363.7 | 61 800.0 | 65 863.2 | 29 659.9 | 27 561.9 | 10 252.2 | 392 428.2 |
| | Expenditure category | | | | | | | | | | |
| | Post | 5 790.0 | 5 583.6 | 5 763.3 | 6 745.3 | 7 070.3 | 8 181.3 | 6 700.9 | 16 722.7 | 7 400.3 | 69 957.7 |
| | Non-post | 41 201.4 | 43 296.4 | 32 292.6 | 56 618.4 | 54 729.7 | 57 681.9 | 22 959.0 | 10 839.2 | 2 851.9 | 322 470.5 |
| | Total | 46 991.4 | 48 880.0 | 38 055.9 | 63 363.7 | 61 800.0 | 65 863.2 | 29 659.9 | 27 561.9 | 10 252.2 | 392 428.2 |

49. The greater part of the budget of the organization – \$354.6 million, or 90 per cent – is reserved for programme activities, both normative and operational. Of the remaining \$37.8 million, \$10.2 million, or 3 per cent, is budgeted for programme support activities and \$27.6 million, or 7 per cent, is for executive direction and management, which includes evaluation, legal, liaison and strategic planning units, the Office of External Relations and the Secretariat of the Governing Council (table 2 and figure 3). The proposed budget reflects efforts that UN-Habitat is undertaking to enhance efficiency and productivity.

Figure 3
Proposed use of resources in 2014–2015

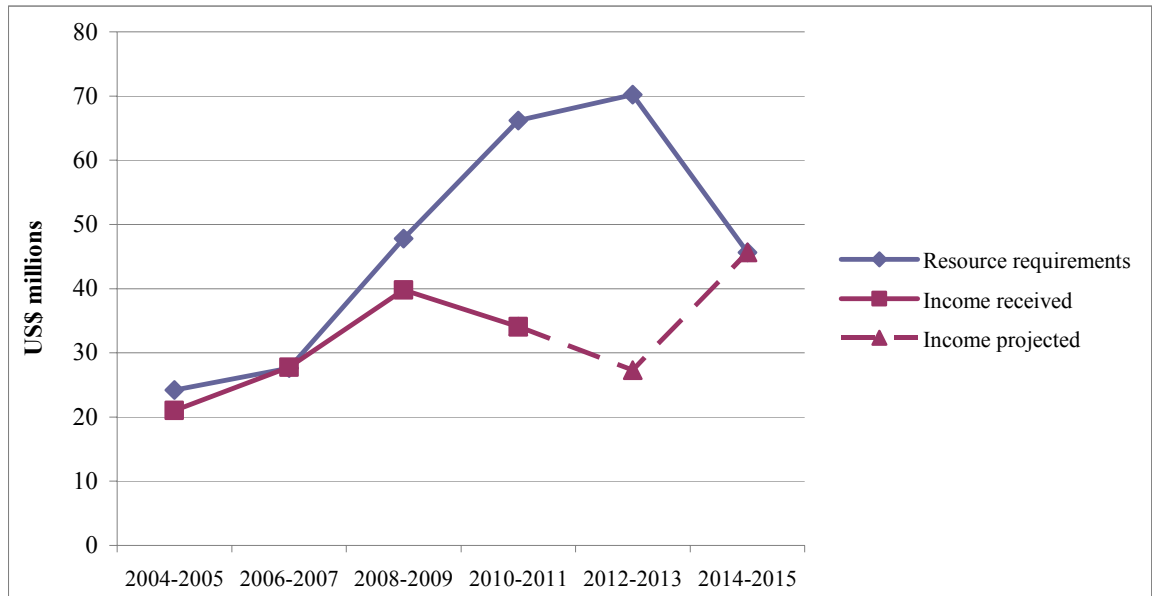


50. Mindful of the likely impact of the global financial situation on development aid budgets, the organization continues to review its resource mobilization efforts to achieve sustainable income and more predictable funding. The UN-Habitat resource mobilization strategy aims to enhance contributions to both core and earmarked funds. Elements of the strategy include enhancing the quality of donor interaction with existing long-term development partners; building on existing relations with partners to leverage and expand the donor base to non-traditional donors, including emerging economies; improved reporting, enhanced accountability and greater transparency to demonstrate the impact of UN-Habitat activities; and greater advocacy to underscore the significance of sustainable urbanization and the role played by UN-Habitat in carrying out the Habitat Agenda. The strategy will be supported by strategic communications, systems and tools to create an enabling environment for resource mobilization. UN-Habitat will use the deliberations leading up to Habitat III and the post-Millennium Development Goal period as well as such platforms as the World Urban Campaign and the International Aid Transparency Initiative, to enhance its advocacy.

C. Foundation general purpose

51. The proposed budget for the United Nations Habitat and Human Settlements Foundation to be funded from general purpose contributions for the biennium 2014–2015 is \$45.6 million. This represents a decrease of 35 per cent (40 per cent in real terms) on the \$70.2 million approved for the biennium 2012–2013. The proposed budget reflects the conservative approach adopted in the light of the current global financial situation and takes into account the gap between the approved budget and actual and projected income receipts over the last three bienniums (figure 4).

Figure 4
Budget versus actual and projected resources for the bienniums 2004–2005 to 2014–2015



52. Of the proposed budget of \$45.6 million, \$30.9 million is allocated to posts, while \$14.7 million is allocated to non-post costs. The proposed reduction in the total budget of \$24.6 million, or 35 per cent, below the 2012–2013 biennium budget is achieved through a decrease of \$8.5 million in post costs and a decrease of \$16.1 million in non-post costs. These significant reductions reflect the serious measures being undertaken by UN-Habitat to respond to the current financial crisis, which include a continuing recruitment freeze, cutbacks in travel and consultancy costs and increased operational efficiency savings.

53. It should be noted that, as the general purpose contributions to the United Nations Habitat and Human Settlements Foundation are the core funds of the organization, they facilitate effective implementation of a focused, cohesive and prioritized work programme consistent with the strategic framework objectives, primarily through the funding of normative activities for which earmarked funding is not predictable.

1. Regular budget

54. The expenditure budget has been maintained at the same level (\$21.1 million), pending a review of the proposals to be submitted to the General Assembly for approval. Since the United Nations regular budget appropriation is subject to the approval of the General Assembly at its sixty-eighth session in 2013, the amounts quoted for 2014–2015 are only indicative. Accordingly, any cost adjustments to this part of the resource plan will be effected at United Nations Headquarters at the time of the adoption of the budget by the General Assembly.

2. Foundation special purpose

55. The estimated budget for the biennium 2014–2015 is \$123.2 million, of which \$111.1 million, or 90 per cent, is for programme activities, \$3.0 million for programme support and \$9.0 million for executive direction and management (see table 2). This represents a projected increase of 11 per cent over the \$110.5 million estimated for the biennium 2012–2013. Staffing is maintained at the current levels. Where necessary, temporary field staff will be recruited to facilitate project implementation and will be charged as direct costs to the respective earmarked projects (including trust funds) (see tables 5 (a) and (b)).

56. As reflected in table 3, the United Nations Habitat and Human Settlements Foundation special purpose component incorporates the corresponding programme support (overhead) budget of \$10.2 million, of which \$3.0 million is for programme support activities of an administrative nature and \$2.0 million is allocated for executive direction and management activities, including evaluation, negotiation of agreements, external relations and overall coordination. The remaining \$5.1 million for programme activities is allocated for the Habitat programme managers (\$1.1 million) and for programme management activities, including project appraisal, formulation, monitoring and implementation support (\$4.0 million).

Table 3
Foundation special purpose: programme support (overhead) account

| Category | Resources (thousands of United States dollars) | | | |
|---------------------------------------|--|-----------------|------------------|-----------------|
| | Actual | Appropriations | Change | Estimates |
| | 2010–2011 | 2012–2013 | | 2014–2015 |
| 1. Programme activities | 540.0 | 5 697.7 | (565.8) | 5 131.9 |
| 2. Programme support | 8 589.2 | 4 110.5 | (1 099.3) | 3 011.2 |
| 3. Executive direction and management | 30.8 | 3 179.8 | (1 151.5) | 2 028.3 |
| Total | 9 160.0 | 12 988.0 | (2 816.6) | 10 171.4 |

3. Technical cooperation

57. The proposed budget for technical cooperation activities is projected at \$202.5 million for the biennium 2014–2015, representing an increase of 7 per cent above the \$190.0 million estimated for the biennium 2012–2013. This component comprises earmarked project budgets (including trust funds) amounting to \$185.1 million and the corresponding technical cooperation programme support (overhead) budget of \$17.4 million. Staffing is maintained at the same level. Temporary field staff will be recruited, as necessary, to facilitate project implementation and will be charged as direct costs to the respective earmarked projects (including trust funds) (see tables 5 (a) and (b)).

Table 4
Technical cooperation: programme support (overhead) account

| Category | Resources (thousands of United States dollars) | | | |
|---------------------------------------|--|-----------------|----------------|-----------------|
| | Actual | Appropriations | Change | Estimates |
| | 2010–2011 | 2012–2013 | | 2014–2015 |
| 1. Programme activities | 16 370.5 | 14 594.2 | 1 604.6 | 16 198.8 |
| 2. Programme support | - | 686.0 | (106.7) | 579.3 |
| 3. Executive direction and management | - | 649.2 | (44.7) | 604.5 |
| Total | 16 370.5 | 15 929.4 | 1 453.2 | 17 382.6 |

58. As reflected in table 4 above, the technical cooperation component incorporates the corresponding programme support (overhead) budget of \$17.4 million; of which \$600,000 is for programme administrative support and \$600,000 for executive direction and management, including legal and security support. The remaining \$16.2 million for programme activities is allocated for the Habitat programme managers (\$1.1 million) and for programme management activities, including project appraisal, formulation, monitoring and implementation support (\$15.1 million).

59. UN-Habitat will continue to implement its regional and country level activities. The organizational review underscores close collaboration between normative functions and operational work to improve programme alignment and increase the level of activities in regions and countries. Accordingly, emphasis will be placed on the establishment and enhancement of national urban policies to promote the normative mandate of the organization at the country level.

4. Staffing

60. UN-Habitat has implemented the peer review recommendation put forward by the Advisory Committee on Administrative and Budgetary Questions (ACABQ) and set out in the medium-term strategic and institutional plan that it should undertake an analysis of its overall organizational structure to ensure that it is suitable for the implementation of its mandated activities. The proposed organizational structure is designed to be flexible and realigns the posts of the organization with the seven strategic focus areas and objectives of the strategic framework.

61. In response to the current economic climate, UN-Habitat imposed a recruitment freeze in 2011, with exceptions being made only for critical positions, subject to the availability of funds. This cautious approach in filling established posts is expected to continue in the biennium 2014–2015. In parallel, UN-Habitat is establishing new policies, simplified procedures, enhanced delegations of

authority and systems to support greater efficiency and productivity, with a view to ensuring that current staffing levels can support the scale of activities planned for the biennium 2014–2015.

62. It is proposed, therefore, that the number of posts under the Foundation general purpose budget for the biennium 2014–2015 remain at the same level as for the biennium 2012–2013. Subsequently, priority changes in the staffing level will be made in accordance with the provisions in the budget for the biennium 2014–2015. With a core staff complement of 281, the organization will continue to manage large field projects and supervise over 2,000 project staff in the field.

63. Under the proposed organizational structure, the seven thematic branches work closely with regional offices to implement the Habitat Agenda at the country level. They are supported by the Project Office, which provides support in the formulation and design of projects in line with best practice, ensures that cross-cutting issues are mainstreamed into programme activities and confirms that the full project portfolio complies with UN-Habitat mandates and priorities. Accordingly, resource requirements, including posts, for the regional offices and Project Office are distributed across the seven subprogrammes which they support.

Table 5 (a)

UN-Habitat estimated distribution of posts by source of funds

| | <i>Professional category and above</i> | | | | | | | | <i>General Service</i> | | <i>Grand total</i> | |
|----------------------------|--|------------|------------|------------|------------|------------|------------|--------------|------------------------|--------------------|--------------------|---------------------|
| | <i>USG</i> | <i>ASG</i> | <i>D-2</i> | <i>D-1</i> | <i>P-5</i> | <i>P-4</i> | <i>P-3</i> | <i>P-2/1</i> | <i>Total</i> | <i>Local level</i> | | <i>Other levels</i> |
| 2012–2013 | | | | | | | | | | | | |
| Regular budget | 1 | – | 1 | 4 | 9 | 16 | 14 | 5 | 50 | 23 | 2 | 75 |
| Foundation general purpose | – | 1 | 4 | 8 | 16 | 23 | 24 | 4 | 80 | 46 | 4 | 130 |
| Foundation special purpose | – | – | – | – | 1 | 3 | 4 | 2 | 10 | 20 | – | 30 |
| Technical cooperation | – | – | – | 3 | 13 | 6 | 7 | 5 | 34 | 11 | 1 | 46 |
| 2012–2013 total | 1 | 1 | 5 | 15 | 39 | 48 | 49 | 16 | 174 | 100 | 7 | 281 |
| Changes | | | | | | | | | | | | |
| Regular budget | – | – | – | – | – | – | – | – | – | – | – | – |
| Foundation general purpose | – | – | – | 1 | (1) | – | – | – | – | (1) | 1 | – |
| Foundation special purpose | – | – | – | – | – | – | – | – | – | – | – | – |
| Technical cooperation | – | – | – | – | – | – | – | – | – | – | – | – |
| Net changes | – | – | – | 1 | (1) | – | – | – | – | (1) | 1 | – |
| 2014–2015 | | | | | | | | | | | | |
| Regular budget | 1 | – | 1 | 4 | 9 | 16 | 14 | 5 | 50 | 23 | 2 | 75 |
| Foundation general purpose | – | 1 | 4 | 9 | 15 | 23 | 24 | 4 | 80 | 45 | 5 | 130 |
| Foundation special purpose | – | – | – | – | 1 | 3 | 4 | 2 | 10 | 20 | – | 30 |
| Technical cooperation | – | – | – | 3 | 13 | 6 | 7 | 5 | 34 | 11 | 1 | 46 |
| 2014–2015 total | 1 | 1 | 5 | 16 | 38 | 48 | 49 | 16 | 174 | 99 | 8 | 281 |

Note: Posts funded from earmarked funds (including trust funds) have been excluded from the 2014–2015 staffing tables, but the current number has been provided in table 5 (b) below.

64. The total number of posts falling under the Foundation general purpose budget is maintained at the same level as in the biennium 2012–2013. For consistency purposes, it is proposed that the seven subprogrammes each be headed by a D-1 level position. Consequently, it is proposed that one P-5 level position be reclassified to the D-1 level.

65. Table 5 (b) reflects the number of temporary posts funded from earmarked funds (including trust funds) as at 31 December 2012. These posts are of a temporary nature and the levels are subject to frequent changes according to programme and project activity requirements.

Table 5 (b)
UN-Habitat estimated distribution of temporary posts funded from earmarked funds (as at 31 December 2012)

| | <i>International experts</i> | | | | | <i>Total</i> | <i>National project staff</i> | | |
|-------------------------|------------------------------|------------|------------|------------|--------------|--------------|-------------------------------|--------------------|--------------------|
| | <i>D-1</i> | <i>P-5</i> | <i>P-4</i> | <i>P-3</i> | <i>P-2/1</i> | | <i>National officers</i> | <i>Local level</i> | <i>Grand total</i> |
| Earmarked project funds | 4 | 17 | 21 | 31 | 18 | 91 | 35 | 19 | 145 |

Table 6
United Nations Habitat and Human Settlements Foundation budget for the biennium 2014–2015 (general purpose funds only)

| <i>Category</i> | <i>Resources (thousands of United States dollars)</i> | | | <i>Posts</i> | |
|--|---|-------------------|------------------|------------------|------------------|
| | <i>2012–2013</i> | <i>Change</i> | <i>2014–2015</i> | <i>2012–2013</i> | <i>2014–2015</i> |
| A. Programme of work | | | | | |
| Post | 20 714.7 | (4 157.3) | 16 557.4 | 82 | 68 |
| Non-post | 21 724.5 | (11 176.2) | 10 548.3 | | |
| <i>Subtotal</i> | <i>42 439.2</i> | <i>(15 333.5)</i> | <i>27 105.7</i> | <i>82</i> | <i>68</i> |
| B. Executive direction and management | | | | | |
| Post | 15 016.1 | (3 981.5) | 11 034.6 | 36 | 46 |
| Non-post | 6 610.9 | (3 869.8) | 2 741.1 | | |
| <i>Subtotal</i> | <i>21 627.0</i> | <i>(7 851.3)</i> | <i>13 775.7</i> | <i>36</i> | <i>46</i> |
| C. Programme support | | | | | |
| Post | 3 715.2 | (399.4) | 3 315.8 | 12 | 16 |
| Non-post | 2 440.3 | (1 020.0) | 1 420.2 | | |
| <i>Subtotal</i> | <i>6 155.5</i> | <i>(1 419.5)</i> | <i>4 736.0</i> | <i>12</i> | <i>16</i> |
| Total Foundation general purpose | | | | | |
| Post | 39 446.0 | (8 538.2) | 30 907.8 | 130 | 130 |
| Non-post | 30 775.7 | (16 066.1) | 14 709.6 | | |
| Total | 70 221.7 | (24 604.3) | 45 617.4 | 130 | 130 |

Note: Posts have been realigned for 2014–2015 to ensure alignment of resources with the activities in the work programme and to realize critical and emerging programme priorities and needs.

66. UN-Habitat will continue to support the presence at the country level of Habitat programme managers located within the offices of United Nations resident coordinators. They remain actively involved in promoting the integration of sustainable urbanization into national development policies; promoting the global and normative mandate, programmes and campaigns of the organization; and supporting the operational activities of UN-Habitat at the national and local levels. They will continue to strengthen UN-Habitat engagement with national Governments, United Nations country teams and the United Nations Development Assistance Framework process. To promote policy integration and programmatic coherence at the country level, and in collaboration with regional offices, they will contribute to the development of national urban policies, taking into account the priorities highlighted by the Habitat country programme documents, and will coordinate the establishment of national urban forums with stakeholders at the country level.

Table 7

Distribution of Habitat programme managers by region

| | |
|---|-----------|
| Regional Office for Africa | 18 |
| Regional Office for the Arab States | 2 |
| Regional Office for Asia Pacific | 8 |
| Regional Office for Latin America and the Caribbean | 5 |
| Total | 33 |

5. Statutory reserve

67. In accordance with financial rule 304.3.2 (b), upon the recommendation of the Executive Director, the Governing Council determines the level of the general purpose financial reserve from time to time. This is to ensure liquidity of the Foundation general purpose fund, compensate for uneven cash flows and meet other requirements for the prudent management of the Fund.

68. In view of the expected level of expenditure, in the biennium 2014–2015, a decrease in the statutory reserve from \$7.0 million to \$4.6 million (equivalent to 10 per cent of the general purpose budget) is recommended.

II. Policymaking organs

69. In its resolution 56/206, the General Assembly transformed the Commission on Human Settlements into the Governing Council of UN-Habitat, a subsidiary body of the Assembly, with effect from 1 January 2002. The Governing Council reports to the Assembly through the Economic and Social Council and provides overall policy guidance, direction and supervision to UN-Habitat. The Committee of Permanent Representatives to UN-Habitat was also transformed into an intersessional subsidiary body of the Governing Council. The objectives, functions and responsibilities of the Governing Council are set out in General Assembly resolution 32/162 and in paragraph 222 of the Habitat Agenda, which was adopted at Habitat II.²

70. The Governing Council is composed of 58 member States, which have a membership term of four years. It holds its regular sessions biennially at the headquarters of UN-Habitat in Nairobi. During the sessions, the Governing Council reviews the biennial programme of work of UN-Habitat, the budget of the United Nations Habitat and Human Settlements Foundation, and also the operational activities that are carried out by UN-Habitat. The sessions bring together representatives of member States and Habitat Agenda partners, the latter comprising local authorities, non-governmental organizations, the private sector, the Global Parliamentarians on Habitat, women's groups, Youth for Habitat, trade unions, professionals and researchers, foundations and academies of science. The Committee of Permanent Representatives normally meets eight times during a biennium, while its two working groups hold approximately 72 meetings in a biennium. The Governing Council, its intersessional subsidiary body, the Committee of Permanent Representatives and the two working groups of the Committee are serviced by the secretariat of the Governing Council.

Resource requirements (\$68,900)

71. The resource requirements by source of funding for this area are set out in table 8.

Table 8

Resource requirements by source of funds

| <i>Category</i> | <i>Resources (thousands of United States dollars)</i> | | |
|-----------------|---|---------------|------------------|
| | <i>2012–2013</i> | <i>Change</i> | <i>2014–2015</i> |
| Regular budget | | | |
| Post | – | – | – |
| Non-post | 68.9 | – | 68.9 |
| Subtotal | 68.9 | – | 68.9 |
| Total | 68.9 | – | 68.9 |

72. The provision of \$68,900 against the regular budget covers overtime and hospitality requirements for substantive servicing of meetings of the Governing Council and its subsidiary organs.

² The future governance structure of UN-Habitat will depend on the outcome of the governance review process currently under way.

The resource requirements have been maintained at the same level pending a review of the proposals to be submitted to the General Assembly for approval as part of the programme budget for 2014–2015.

III. Executive direction and management

73. Executive direction and management falls under the responsibility of the Executive Director and includes the Office of the Deputy Executive Director, the Policy and Strategic Planning Unit, the Evaluation Unit, the Secretariat of the Governing Council, the Legal Unit, the Office of External Relations and the UN-Habitat liaison offices in New York, Brussels and Geneva. The Executive Director provides overall direction on the implementation of the work programme and budget of the organization, and coordinates its relations with member States, United Nations offices, programmes, funds, agencies and other partners in the system-wide implementation of the Habitat Agenda, the Millennium Declaration targets and other relevant mandates. Activities in the area of executive direction and management cover the provision of strategic direction in the implementation of the strategic plan 2014–2019, ensuring programmatic coherence and alignment with the plan, holding managers accountable for planned results and providing support to governing bodies, including the Governing Council and the Committee of Permanent Representatives.

A. Objective

74. The overall objective of activities in the area of executive direction and management is to lead and ensure effective implementation of the UN-Habitat mandates and compliance with United Nations policies and procedures in the implementation of the strategic plan for 2014–2019 through the biennial work programme and budget, and in the management of human and financial resources; to raise awareness across the world of sustainable urban development issues; and to broaden support for the participation of Habitat Agenda partners.

B. Strategy

75. The performance of executive direction and management functions will be accomplished by a number of units, as described below:

(a) The Policy and Strategic Planning Unit will develop and update key policy and strategic documents, ensuring programmatic and substantive coherence in the approaches to addressing emerging urban challenges and opportunities, and also in ensuring that such approaches benefit from the latest evidence-based thinking on sustainable urban development and human settlements issues. These will be the basis for inputs by UN-Habitat to United Nations system-wide policy documents and reports, and also to decisions of the General Assembly and the Economic and Social Council;

(b) In accordance with the recommendations of various evaluations, including the peer review of the medium-term strategic and institutional plan carried out in January 2010, the Evaluation Unit has now been detached from the exercise of monitoring functions. The Unit will prepare a biennial evaluation plan and will manage, support and facilitate strategic and other evaluations in line with the approved evaluation plan to inform learning, decision-making and performance improvement and accountability. The evaluations will be prioritized to ensure optimal coverage of the UN-Habitat work programme and thematic priorities. Mandatory evaluations and strategic evaluations prioritized by UN-Habitat, including one biennial evaluation report, one subprogramme evaluation and evaluations of completed projects with a threshold over \$5 million, will be conducted as part of the evaluation plan for 2014–2015. Evaluation findings will be effectively disseminated, while lessons learned and recommendations will be documented and shared. The Unit will establish an evaluation database to track the implementation of evaluation recommendations. The Unit will also build capacity on evaluation processes in the context of results-based management;

(c) The Secretariat of the Governing Council will coordinate and facilitate the meetings of intergovernmental bodies, ensuring that organizational units submit documents for circulation to those bodies by the agreed deadlines and that the organization implements their decisions on time, including resolutions of the Governing Council;

(d) The Legal Unit will review and provide guidance in the preparation of legal instruments on partnerships, and will work towards reducing legal disputes through the timely and effective review of legal instruments. It will also provide clear and comprehensive legal advice to senior management and other staff to minimize the possibility of claims and cases against the organization. The Unit will conduct periodic reviews of legal instruments and tools and update

them as necessary, and will build staff capacity in the use of UN-Habitat legal agreements and instruments;

(e) The Office of External Relations consists of the Partners and Inter-Agency Coordination Branch and the Advocacy, Outreach and Communications Branch. These branches will lead and coordinate internal and external strategic communications, including communication related to risk and crisis management, institutional branding and positioning. The Office will lead the process of mobilizing Habitat Agenda partners for the Habitat III conference. It will also support, coordinate and monitor the implementation of relevant agency policies and strategies on partnership, advocacy, communications and publishing;

(f) The Partners and Inter-Agency Coordination Branch will be the focal point for liaising with the United Nations system and other intergovernmental organizations, and for policy-level coordination of partnerships with Habitat Agenda partners. The Branch will ensure that major partner groups are kept adequately informed of UN-Habitat activities by disseminating the policies, publications, programmes and projects of the organization to gain broader support for and understanding of the Habitat Agenda. It will also coordinate engagement by UN-Habitat with partners, including regional development banks, and with other agencies within the United Nations system;

(g) The Advocacy, Outreach and Communications Branch will coordinate and support key advocacy and awareness-raising platforms and initiatives, including the World Urban Forum, the World Urban Campaign, the "I'm a city changer" campaign, World Habitat Day, the Governing Council sessions, national urban forums, national Habitat committees and regional ministerial conferences. To this end, the Branch will develop advocacy strategies, guidelines and outreach materials and relevant publications for dissemination through electronic media, the UN-Habitat website and printed publications. It will streamline the public image and key messages of UN-Habitat, coordinate the publications programme of the organization and engage with international media to enhance global awareness of sustainable urbanization issues;

(h) The UN-Habitat liaison offices in New York, Geneva and Brussels will represent the Programme in the activities of the United Nations and development partners at these locations. The offices will participate in the work of the General Assembly, the Economic and Social Council and other intergovernmental bodies, and in interdepartmental and inter-agency meetings to provide substantive support in meetings and policy dialogues on human settlements. The offices will also carry out outreach and advocacy activities, including on humanitarian and post-crisis reconstruction and rehabilitation;

(i) The Office of the Executive Director will take a lead role in defining and implementing the UN-Habitat resource mobilization strategy to enhance contributions to both core and earmarked funds. Special attention will be given to mobilizing sustainable and predictable core funds, building on relations with existing donors and seeking to expand the donor base to non-traditional donors, including countries with emerging economies.

C. External factors

76. Indicators of success by UN-Habitat in attaining the planned results will be the following: first, that Governments, development partners and other Habitat Agenda partners continue to prioritize and invest in sustainable urban development; second, that member States effectively support UN-Habitat with necessary core and earmarked resources and supportive institutional and policy frameworks; third, that member States and local authorities continue to request technical assistance from UN-Habitat in the implementation of their policies, programmes and projects; fourth, that member States support involvement of the partners in human settlements activities, including preparations for the Habitat III conference; and, fifth, that member States and local authorities implement activities that contribute to the results framework of this work programme.

Table 9

Executive direction and management: expected accomplishments and indicators of achievement

| Expected accomplishments | Indicators and performance measures |
|---|--|
| <p>(a) Enhanced policy coherence in the management of human settlements activities in the United Nations system</p> | <p>(i) Number of reports by the Secretary-General to the General Assembly, the Economic and Social Council, and other key United Nations system-wide documents integrating UN-Habitat inputs</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 35 <i>Estimate:</i> December 2013: 40 <i>Target:</i> December 2015: 45</p> |
| <p>(b) Improved use of performance information from evaluations to influence management decision-making and performance improvement</p> | <p>(i) Percentage of accepted evaluation recommendations implemented within planned time</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not available <i>Estimate:</i> December 2013: 60 per cent <i>Target:</i> December 2015: 80 per cent</p> <p>(ii) Percentage of programme and project managers reporting improved performance at the project level as a result of evaluation findings and recommendations</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not available <i>Estimate:</i> December 2013: 50 per cent <i>Target:</i> December 2015: 65 per cent</p> |
| <p>(c) Reduced exposure of UN-Habitat to risks, legal liabilities and claims</p> | <p>(i) Percentage of agreements and legal instruments which expose UN-Habitat to unnecessary risks and liabilities</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 10 per cent <i>Estimate:</i> December 2013: 5 per cent <i>Target:</i> December 2015: 0 per cent</p> |
| <p>(d) Enhanced engagement of all Habitat Agenda partners and the United Nations system in sustainable urban development</p> | <p>(i) Number of new agreements signed with various Habitat Agenda partners, including World Urban Campaign partners</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 276 <i>Estimate:</i> December 2013: 305 <i>Target:</i> December 2015: 335</p> <p>(ii) Number of evidence-based initiatives of other United Nations agencies or contributing to the promotion of sustainable urban development</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 10 <i>Estimate:</i> December 2013: 30 <i>Target:</i> December 2015: 50</p> |

| Expected accomplishments | Indicators and performance measures |
|---|---|
| | <p>(iii) Number of partners actively contributing to and participating in the preparatory formal process for Habitat III</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not available</p> <p><i>Estimate:</i> December 2013: 50</p> <p><i>Target:</i> December 2015: 250</p> |
| <p>(e) Enhanced awareness and mobilization of the public and the media on sustainable urban development</p> | <p>(i) Number of media articles and electronic debates on sustainable urbanization, UN-Habitat and its platforms and events, and on Habitat III</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 37,000</p> <p><i>Estimate:</i> December 2013: 42,000</p> <p><i>Target:</i> December 2015: 45,000</p> |
| | <p>(ii) Number of hits on and downloads from UN-Habitat websites</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 1,898,660 downloads; 378,505 reads</p> <p><i>Estimate:</i> December 2013: 2,400,000 downloads; 600,000 reads</p> <p><i>Target:</i> December 2015: 2,800,000 downloads; 1,000,000 reads</p> |
| | <p>(iii) Percentage of updated information on UN-Habitat websites, including the portfolio of the organization</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 25 per cent</p> <p><i>Estimate:</i> December 2013: 50 per cent</p> <p><i>Target:</i> December 2015: 90 per cent</p> |
| | <p>(iv) Number of key partner countries that undertake awareness-raising activities to promote sustainable urban development</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 79</p> <p><i>Estimate:</i> December 2013: 90</p> <p><i>Target:</i> December 2015: 100</p> |
| <p>(f) Increased core income of UN-Habitat</p> | <p>(i) Amount of core income received by UN-Habitat (Foundation general purpose)</p> <p>Performance measures:</p> <p><i>Baseline:</i> 2011 \$34 million</p> <p><i>Estimate:</i> 2013 \$26 million</p> <p><i>Target:</i> 2015 \$46 million</p> |

D. Outputs³

77. During the biennium, the Office of Executive Direction and Management will produce the outputs set out below.

1. Servicing of intergovernmental and expert bodies

- (a) *Substantive servicing of meetings*
Twenty-fifth session of the Governing Council of UN-Habitat [1]
- (b) *Parliamentary documentation*
Reports of the Secretary-General to the Economic and Social Council on the coordinated implementation of the Habitat Agenda [2]
Reports of the Secretary-General to the General Assembly at its sixty-ninth and seventieth sessions under the agenda item on human settlements [2]
Progress report of the Executive Director on the activities of the United Nations Human Settlements Programme [1]
Progress report on the implementation of the strategic plan 2014–2019 [1]
Third United Nations Conference on Housing and Sustainable Development: progress report of the Executive Director [6]
Documentation on preparation for the third United Nations Conference on Housing and Sustainable Urban Development (Habitat III) [7]
Biennial evaluation report for the Governing Council [1]
- (c) *Other services provided*
- (i) *Ad hoc expert groups established by a legislative mandate (each undertaking is counted as one output)*
Annual and regional meetings of the United Nations Advisory Committee of Local Authorities [5]
Annual reports of the United Nations Advisory Committee of Local Authorities [2]
Evaluation report of the United Nations Advisory Committee of Local Authorities [1]
Global Parliamentarians on Habitat Conference on Sustainable Urbanization [1]
Organization of round table meetings for Habitat Agenda partners at the seventh session of the World Urban Forum [6]
- (ii) *Assistance to intergovernmental bodies and United Nations representatives and rapporteurs under their established mandates*
Inter-agency meetings and activities and contributions to joint outputs
Inputs to United Nations intergovernmental bodies and coordination mechanisms, including the Commission on Sustainable Development, the United Nations System Chief Executives Board for Coordination, the United Nations Development Group (UNDG), the Executive Committee on Economic and Social Affairs, the Inter-agency Standing Committee on Humanitarian Affairs (IASC), the High-level Committee on Programmes (HLCP) and the High-level Committee on Management (HLCM), and to reports of other United Nations agencies [45]
Regional ministerial conference (Asia-Pacific Ministerial Conference on Housing and Urban Development) (APMCHUD) [1]
Report from the regional ministerial conference (APMCHUD) [1]

³ The figures in square brackets [] denote the number of outputs. The letters in curly brackets { } denote the language in which the reports will be produced.

2. Other substantive activities

(a) Recurrent publications

UN-Habitat Annual Report [2]

(b) Non-recurrent publications

Various special publications [5]

(c) Special events

Seventh session of the World Urban Forum [1]

High-level United Nations inter-agency meetings in support of Habitat III [2]

Report on the progress of United Nations inter-agency coordination mechanisms [1]

Meetings of the Preparatory Committee for Habitat III [6]

Strategic meetings with Habitat Agenda partners in preparation for Habitat III [4]

“I’m a City Changer” national and city campaigns [4]

World Urban Campaign website as an online entry point for urban issues and UN-Habitat platforms [1]

Special session on the World Urban Campaign at the World Urban Forum 7 in preparation for Habitat III (2014) [1]

World Urban Campaign plan of action towards a Global Urban Agenda for Habitat III [1]

World Habitat Day celebrations – global [2] and national [10]

(d) Press releases and press conferences

Media and social media strategy to support a participatory process towards Habitat III [1]

Media training sessions on urban issues to raise their profile on the media agenda [4]

Press conferences, workshops, information and press releases on the UN-Habitat corporate websites [60]

(e) Technical materials

Upgraded partners accreditation system [1]

UN-Habitat corporate and common database [1]

Mid-term evaluation of the UN-Habitat partnership strategy [1]

Revised and reformed accreditation system for Habitat Agenda partner

Technical reports on city-to-city technical cooperation initiated and facilitated through the United Nations Advisory Committee of Local Authorities [2]

3. Technical cooperation

(a) Advisory services

Advisory services to strengthen and support multi-sectoral partnerships in countries and national urban forums [5]

Advisory services to implement national urban campaigns [5]

Joint inter-agency coordination mechanism on sustainable urbanization [1]

Annual partners’ policy dialogue [2]

(b) Field projects

Thematic work programme for urban networks initiated at the city level [4]

World Urban Campaign cities projects implemented [4]

4. Administrative support services

- (a) Legal review and clearance of agreements of cooperation, memorandums of understanding and related instruments [1]
- (b) Representation of UN-Habitat at the United Nations Dispute Tribunal [1]
- (c) Training workshops on the use of agreements and legal instruments [2]
- (d) Evaluation training [1]

5. Internal oversight services

- (a) Annual evaluation plan [2]
- (b) Online system for sharing of findings, recommendations and lessons learned from evaluations [1]
- (c) Biennial evaluation report detailing substantive findings from evaluations conducted, lessons learned and status of the implementation of recommendations resulting from evaluations conducted [1]
- (d) Updated evaluation policy and guidelines [1]
- (e) Annual survey among programme and project managers on the use of evaluation results [2]

Resource requirements (\$27,493,000)

78. The resource requirements by source of funding for this area are set out in table 10.

Table 10

Resource requirements by source of funds

| <i>Category</i> | <i>Resources (thousands of United States dollars)</i> | | |
|----------------------------|---|------------------|------------------|
| | <i>2012–2013</i> | <i>Change</i> | <i>2014–2015</i> |
| Foundation general purpose | | | |
| Post | 15 016.1 | (3 981.5) | 11 034.6 |
| Non-post | 6 610.9 | (3 869.8) | 2 741.1 |
| Subtotal | 21 627.0 | (7 851.3) | 13 775.7 |
| Regular budget | | | |
| Post | 3 450.3 | – | 3 450.3 |
| Non-post | 562.1 | 72.1 | 634.2 |
| Subtotal | 4 012.4 | 72.1 | 4 084.5 |
| Foundation special purpose | | | |
| Post | 2 841.6 | (1 208.3) | 1 633.3 |
| Non-post | 4 686.9 | 2 708.1 | 7 395.0 |
| Subtotal | 7 528.5 | 1 499.8 | 9 028.3 |
| Technical cooperation | | | |
| Post | 649.2 | (44.7) | 604.5 |
| Non-post | – | – | – |
| Subtotal | 649.2 | (44.7) | 604.5 |
| Total by category | | | |
| Post | 21 957.2 | (5 234.5) | 16 722.7 |
| Non-post | 11 859.9 | (1 089.6) | 10 770.3 |
| Total | 33 817.1 | (6 324.1) | 27 493.0 |

79. The proposed budget for executive direction and management functions is estimated at \$27.5 million, as detailed in table 10, comprising \$13.8 million from the Foundation general purpose fund, \$4.1 million from the regular budget, \$9.0 million from the Foundation special purpose fund and \$600,000 from the technical cooperation fund.

(a) Foundation general purpose

80. The amount of \$13.8 million provides for 46 posts at a cost of \$11.0 million and non-post costs of \$2.8 million. Non-post costs cover costs associated with consultants, staff travel, contractual services, payments to implementing partners, general operating expenses, supplies and materials, furniture and equipment and reimbursement for services provided by the United Nations Office at Nairobi.

(b) Regular budget

81. The amount of \$4.1 million provides for 15 posts at a cost of \$3.5 million and non-post costs of \$600,000, to cover consultants and experts, travel, contractual services, general operating expenses, supplies and materials, and furniture and equipment. The resource requirements have been maintained at the same level pending a review of the proposals to be submitted to the General Assembly for approval as part of the programme budget for 2014–2015.

(c) Foundation special purpose

82. The amount of \$9.0 million provides for 12 posts at a cost of \$1.6 million and \$7.4 million of earmarked project expenditure in line with the target project activities for the biennium.

(d) Technical cooperation

83. The amount of \$600,000 provides for 2 posts.

IV. Programme of work**A. Subprogramme 1: Urban legislation, land and governance**

84. Subprogramme 1 will be implemented jointly by the Urban Legislation, Land and Governance Branch, regional offices of UN-Habitat and the Project Office. The Urban Legislation, Land and Governance Branch comprises the Urban Legislation Unit, the Land and Global Land Tool Network Unit and the Local Governance and Decentralization Unit. The subprogramme is aligned with focus area 1 of the six-year strategic plan for 2014–2019. During the biennium, the Branch will provide policy and operational support to Governments and cities on urban legislation, land and governance issues. It will support the development of urban legislation and governance models that are gender-responsive and address land problems equitably, including by promoting international guidelines on decentralization, the strengthening of local authorities, and advocating access to basic services for all, along with social inclusion and participation.

1. Objective

85. The overall objective of subprogramme 1 is to increase access to urban land, the adoption of enabling urban legislation and the establishment of decentralized governance that foster equitable sustainable urban development, including urban safety.

2. Strategy

86. Responsibility for the subprogramme is vested in the Urban Legislation, Land and Governance Branch. The Branch will support projects that bring about upstream systemic changes, as well as those which deliver results such as an increased supply of serviced land for the expansion of cities. The planned results will be realized through a range of interrelated strategies and interventions, including the following:

(a) Creating and nurturing an urban network that will engage in knowledge creation, dissemination, advocacy and maximizing the impact of interventions. The network strategy will draw on the in-house experience of bringing together key stakeholders under a shared agenda, values, and a common goal. Following the same principles, a global network on safer cities will contribute to city-to-city dialogue and exchange visions on urban safety public policies;

(b) Piloting tools in the field through demonstration projects, some of which will be set out in manuals and guidelines;

(c) Developing the capacity of local and national authorities and other Habitat Agenda partners, including carrying out the comprehensive capacity assessment of tools for each area of work. Tools such as business process mapping will be used to look critically at institutions and identify ineffectual practices, promote learning and provide technical advisory support that can align organizational capacities with proposed interventions or reforms;

(d) Developing new knowledge and documenting existing good practice. From a legal standpoint, such tools as legislation for land readjustment and planning, among others, will be identified, and developed and adapted as appropriate. The planned results will be realized through the application of tools and services and by deploying in-house capacity and pooling the expertise of partners;

(e) Working across government departments in urban planning, land, and local government finance in specific geographic areas will facilitate synergy and organizational coherence. There will also be sharing of expertise, tools and instruments for planning, implementation and

evaluation to achieve better coordination between, and within, activities that are led from headquarters and the field;

(f) Drawing on experience from the Global Land Tool Network, a number of initiatives – the core of which is a web-based legal facility – will be used to draw in partners, supply a database of legislation, provide a roster of urban legal consultants, and build and disseminate knowledge. These will target national Governments, cities and Habitat Agenda partners. In order to multiply the results of intervention, this facility will also open up advocacy and communication modules for governance activities;

(g) Taking note of current contextual regional and local characteristics, developments and challenges. The work on governance, social cohesion and urban safety will address those specificities, and design and implement region-specific strategies and programmes;

(h) Implementing country and city-level activities will be important. Certain governance issues will need national entry points, while others will be addressed through city-level engagement;

(i) Identifying and focusing on quick wins, high-impact and low-cost interventions will also be important. Urban legal interventions will have city-wide, subnational and national interfaces, depending on the level or levels at which the legislation is enacted in a given country (local, State or national levels).

3. External factors

87. It is anticipated that the subprogramme will achieve its expected accomplishments on the following two assumptions: first, that member States remain committed to the resolutions, declarations and action plans that they have endorsed; and, second, that there will be minimal changes in Governments and physical environments that could affect the advancement of lawful reforms, such as conflicts and major natural disasters.

Table 11

Subprogramme 1: Urban legislation, land and governance – expected accomplishments and indicators of achievement

| Expected accomplishments | Indicators and performance measures |
|--|--|
| (a) Increased capacity of local and national governments and other Habitat Agenda partners to implement enabling legislation for improving urban extension, densification, planning and finance | (i) Number of consultative legal reform processes to improve urban extension, densification, urban planning and finance <i>Performance measures</i> <i>Baseline:</i> December 2011: none (new area of work) <i>Estimate:</i> December 2013: 12 <i>Target:</i> December 2015: 23 |
| (b) Increased capacity of local and national governments and other Habitat Agenda partners to implement programmes that improve security of tenure for vulnerable groups, including women, youth, indigenous people and minorities | (i) Number of programmes to improve security of tenure for vulnerable groups, including women, youth, indigenous people and minorities implemented by partner local and national governments and other Habitat Agenda partners <i>Performance measures</i> <i>Baseline:</i> December 2011: 2 city programmes, 1 national programme and 1 programme by a Habitat Agenda partner <i>Estimate:</i> December 2013: 5 city programmes, 5 national programmes and 5 programmes by Habitat Agenda partners <i>Target:</i> December 2015: 10 city programmes, 7 national programmes and 10 programmes by Habitat Agenda partners |

| Expected accomplishments | Indicators and performance measures |
|---|---|
| <p>(c) Local and national governments and other Habitat Agenda partners improve policies, plans and strategies that strengthen decentralized governance and inclusive urban management and safety</p> | <p>(i) Number of partner local and national authorities and other Habitat Agenda partners that have adopted the guidelines on decentralization and access to basic services for all</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 57 cities and 3 national authorities</p> <p><i>Estimate:</i> December 2013: 77 cities and 5 national authorities</p> <p><i>Target:</i> December 2015: 90 cities and 7 national authorities</p> <p>(ii) Number of partner local and national authorities that have adopted local crime prevention strategies.</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 2 local authorities and 3 national authorities</p> <p><i>Estimate:</i> December 2013: 7 local authorities and 8 national authorities</p> <p><i>Target:</i> December 2015: 12 local authorities and 13 national authorities</p> |

4. Outputs⁴

88. During the biennium, the Urban Legislation, Land and Governance Branch, jointly with all regional offices, the Project Office and other branches will produce the following outputs in line with the matrix of organizational arrangements:

1. Other substantive activities

(a) Non-recurrent publications

- (i) Publication on urban legislation for land readjustment, urban governance, urban extension and planning] [2]
- (ii) Publication on research works, good practice, and tools on tenure security] [10]
- (iii) Publication on good urban safety practice and the governance matrix for the promotion of urban safety [1]
- (iv) Publication on improving multi-level governance coordination and cooperation mechanisms for strengthened urban governance in cities [1] {E, F}

(b) Technical materials

- (i) United Nations Guidelines on Safer Cities [1]
- (ii) Urban Safety Monitor [1]

(c) Special events

- (i) World Urban Forum 7 dialogue and special events related to governance and urban safety [1]
- (ii) Regional preparatory meetings to finalize the United Nations guidelines on safer cities in African and Arab States, Asia, Latin America and Europe (in collaboration with the Office of the Executive Director, regional offices, the Project Office, the Office of External Relations, relevant branches and units) [4]

⁴ The figures in square brackets [] denote the number of outputs. The letters in curly brackets { } denote the language in which the reports will be produced.

2. Servicing of intergovernmental and expert bodies

- (a) *Other services provided: expert group meetings*
- (i) Expert group meeting on urban legislation for land readjustment, urban governance, urban extension and planning [4]
 - (ii) Expert group meetings and conferences on improving security of tenure for vulnerable groups [4]
 - (iii) Annual meeting of the Global Network on Safer Cities Advisory Group in collaboration with the Office of the Executive Director and the Office of External Relations [2]
 - (iv) Biennial meeting of the Global Network on Safer Cities Partners Consultative Group in collaboration with the Office of External Relations and the regional offices [1]
 - (v) Thematic expert group meetings led by partner platforms on urban safety and gender, youth, policing, armed violence, planning and management [5]
 - (vi) Urban governance in service delivery (water, mobility, sanitation, adaptation, youth, and land management) in collaboration with subprogramme 4) [7]
 - (vii) Mayors' seminar on legal tools and instruments for urban development [1]

3. Technical cooperation

- (a) *Advisory services to support the development of enabling urban legislation, increased access to land and inclusive governance*
- (i) Advisory services on the development and implementation of adequate urban legislation: Regional Office for Latin America and the Caribbean (24); Regional Office for the Arab States (3); Regional Office for Asia and the Pacific (2); Regional Office for Africa (3); Urban Legislation Unit (14); headquarters: (2) [24]
 - (ii) Assistance provided to regional initiatives and programmes aiming to improve security of tenure for vulnerable groups (Regional Office for Latin America and the Caribbean: 1 and three regional land initiatives and programmes supported by the Land and Global Land Tool Network Unit: 2) [3]
 - (iii) Advisory services provided to national and local land initiatives and programmes aiming to improve security of tenure for vulnerable groups; 11 national and local land initiatives and programmes supported by the Land and Global Land Tool Network Unit at headquarters: 3; Regional Office for the Arab States: 2; Regional Office for Africa: 3; Regional Office for Asia and the Pacific: 2; Regional Office for Latin America and the Caribbean: 1 [11]
 - (iv) Technical advice on urban safety (in collaboration with regional offices, the Project Office, the Office of External Relations, and relevant branches and units) [20]
 - (v) Technical advice in the area of local government and decentralization (in collaboration with regional offices, the Project Office, relevant branches and units) [40]
 - (vi) Technical advice on decentralization and urban governance supporting implementation of the International Guidelines on Decentralization and Access to Basic Services for All [15]
 - (vii) Technical advice on supporting implementation of the Guidelines on Safer Cities [15]

- (b) *Group training measures (seminars, workshops and symposiums) to strengthen capacity for the development of enabling urban legislation, increased access to land and inclusive governance*
- (i) Training and capacity development initiatives to support Governments and key Habitat Agenda partners in developing and implementing urban legislation initiatives (13 initiatives: Regional Office for Africa; 1; Regional Office for the Arab States; 6; Regional Office for Asia and the Pacific; 2; Regional Office for Latin America and the Caribbean; 2; 2 Urban Legislation Unit at headquarters) [13]
 - (ii) Training and capacity development initiatives to support Governments and key Habitat Agenda partners in developing and implementing security of tenure programmes (Regional Office for Africa; 11; Land and Global Land Tool Network Unit at headquarters; 4;) [15]
 - (iii) Training and workshops for local government and practitioners on promoting urban safety (Regional Office for Africa: 2; Regional Office for Asia and the Pacific: 2; Regional Office for Latin America and the Caribbean: 2 biannually) [6]
 - (iv) Training and workshops on governance and decentralisation in collaboration with regional offices, the Office of External Relations, the Research and Capacity Development Branch and other relevant branches and units [9]
 - (v) Workshops on implementing and adapting the guidelines on decentralization and access to basic services (Regional Office for Africa: 2; Regional Office for Arab States: 1) [3]
 - (vi) Workshops on the Guidelines on Safer Cities (Regional Office for Africa: 1; Regional Office for Latin America: 1) [1]
- (c) *Field projects to contribute towards the development of enabling urban legislation, increased access to land and inclusive governance*
- (i) Piloting of tools and approaches, and implementation of urban legislation projects that improve urban extension, densification, urban planning and local government finance in selected countries: at the global level, urban legal network and global urban legal database – 2; Regional Office for Africa: 8 – Kenya: case study of city development law and regulation in Kisumu; Kenya: review of urban law under devolved government; Mozambique: land readjustment and tenure in urban corridor development; Rwanda: support for national urbanization and urban development; Uganda: regulatory impact analysis of innovative housing initiatives and three other projects; Regional Office for the Arab States: 1 – Egypt: participatory and inclusive land readjustment for sustainable urban densification; Regional Office for Asia and the Pacific: 2 – Philippines: land readjustment for densification and extension, and one other project (in collaboration with regional offices, the Project Office, relevant branches and units); and Regional Office for Latin America and the Caribbean: 4 – Colombia: participatory and inclusive land readjustment for achieving sustainable urban development in Medellin and three other projects [17]
 - (ii) Piloting of tools and approaches, and implementation of field projects to improve security of tenure for the vulnerable, including women and youth. At the global level: Global Land Tool Network; Regional Office for Africa: 4 – African Union, United Nations Economic Commission for Africa and African Development Bank Land Policy Initiative, UN-Habitat/Global Land Tool Network leads on capacity development; Democratic Republic of the Congo: joint integrated land programme in North Kivu, land conflict resolution and prevention in Ituri, and land policy process; Uganda: scaling-up of social tenure domain model; Kenya: coordination of development partners group on land); Regional office for the Arab States: 3 – Iraq: durable shelter solutions for

- internally displaced persons; Regional Office for Asia and the Pacific: 5 – Myanmar: land administration and management process, phase 1; Afghanistan: local governance support programme; Indonesia: “No one left behind” project; Bangladesh: urban partnership for poverty reduction, phase 3; Nepal: catalytic support on land issues project; in Latin America and the Caribbean: 7 – Colombia: achieving sustainable urban development through participatory inclusive land readjustment; Organization of Eastern Caribbean States: inclusion of six independent countries in a regional initiative which affects each country: Antigua and Barbuda; Grenada; Montserrat; St. Kitts and Nevis; St. Lucia; St. Vincent and the Grenadines; State of Palestine: support for immediate and long-term strategic spatial planning needs for Palestinian cities, towns and villages [19]
- (iii) Field projects supporting the capacity of local and national governments and other Habitat Agenda partners to improve governance and decentralization processes and institutions: Regional Office for Africa: 9 – Ghana: Urban Governance and Management Programme; Kenya informal settlers participation project; Kenya: support for devolution project; Kenya: youth, ICT and governance project; Nigeria: Ondo State urban governance strengthening project); Rwanda: Kigali municipal youth, Somalia: joint programme on support for decentralization and integrated local development; Uganda: support for strengthening metropolitan governance; ICT and governance project; Zimbabwe: urban governance project; Regional Office for the Arab States: 3 – Egypt: youth in urban governance project; Jordan: ICT, youth and governance initiative; Regional Office for Asia and the Pacific: 1 – Afghanistan: local governance project; Regional Office for Latin America and the Caribbean: 1 – Colombia: community governance component of the participatory and inclusive land readjustment project; Morocco: youth, ICT and governance project [14]
- (iv) Field projects supporting urban safety, social cohesion and human security at the local and national levels: Regional Office for Africa: 5 – Burundi: safer Bujumbura project, Chad: promoting urban safety in N’Djamena; Kenya: safe and friendly cities for all initiative, Rwanda: initiative on cities free of violence against women and girls); South Africa: urban safety initiative, Regional Office for the Arab States: 4 – Egypt: initiative on cities free of violence against women and girls; Lebanon: safe and friendly cities for all initiative, Iraq: city safety pilot project; Morocco: safe and friendly cities for all initiative; Regional Office for Asia and the Pacific: 4 – India: initiative on cities free of violence against women and girls; Papua New Guinea: initiative on cities free of violence against women and girls; Philippines: safe and friendly cities for all initiative; Viet Nam: joint programme on safety for women and girls; Eastern Europe: 1 – Tajikistan: safe and friendly cities for all initiative; Regional Office for Latin America and the Caribbean: 5 – Brazil: safe and friendly cities for all; Costa Rica: safe and friendly cities for all initiative); Honduras: safe and friendly cities for all initiative; Mexico: safer cities for women project in Ciudad Juarez, Chihuahua, Chiapas, Mexico City and an assessment of the impact of crime on economic competitiveness in Zapopan; [19]
- (v) Field projects supporting the adaptation and implementation of the Guidelines on Decentralization and Access to Basic Services in Benin, Côte d’Ivoire and Malawi, [3]
- (vi) Field projects supporting the implementation of the Guidelines on Safer Cities in Colombia, Kenya and South Africa, [3]

Resource requirements (\$46,991,400)

89. The resource requirements by source of funding for this area are set out in table 12.

Table 12
Resource requirements by source of funds

| Category | Resources (thousands of United States dollars) | | |
|----------------------------|--|------------------|-----------------|
| | 2012–2013 | Change | 2014–2015 |
| Foundation general purpose | | | |
| Post | 2 861.0 | (1 138.8) | 1 722.2 |
| Non-post | 3 103.5 | (1 712.5) | 1 391.0 |
| Subtotal | 5 964.5 | (2 851.3) | 3 113.2 |
| Regular budget | | | |
| Post | 2 428.8 | – | 2 428.8 |
| Non-post | 197.5 | – | 197.5 |
| Subtotal | 2 626.3 | – | 2 626.3 |
| Foundation special purpose | | | |
| Post | 308.1 | (54.3) | 253.8 |
| Non-post | 7 418.1 | 18 048.7 | 25 466.8 |
| Subtotal | 7 726.2 | 17 994.4 | 25 720.6 |
| Technical cooperation | | | |
| Post | 948.2 | 437.0 | 1 385.2 |
| Non-post | 20 909.4 | (6 763.3) | 14 146.1 |
| Subtotal | 21 857.6 | (6 326.3) | 15 531.3 |
| Total by category | | | |
| Post | 6 546.1 | (756.1) | 5 790.0 |
| Non-post | 31 628.5 | 9 572.9 | 41 201.4 |
| Total | 38 174.6 | 8 816.8 | 46 991.4 |

90. The proposed budget for subprogramme 1, Urban legislation, land and governance, is estimated at \$46.9 million, as detailed in table 12, of which \$3.1 million will be funded from the Foundation general purpose fund, \$2.6 million from the regular budget, \$25.7 million from the Foundation special purpose fund and \$15.5 million from the technical cooperation fund. Resources of the regional offices and the Project Office have been distributed across the subprogrammes.

(a) Foundation general purpose

91. The proposed budget of \$3.1 million provides for seven posts and the apportioned staff cost of Habitat programme managers at a cost of \$1.7 million, and non-post costs of \$1.4 million. Non-post costs cover costs associated with consultants and experts, travel, contractual services, payments to implementing partners, general operating expenses, supplies and materials, furniture and equipment and reimbursement for services provided by the United Nations Office at Nairobi.

(b) Regular budget

92. The amount of \$2.6 million provides for seven posts at a cost of \$2.4 million and non-post costs of \$200,000. The resource requirements have been maintained at the same level pending a review of the proposals to be submitted to the General Assembly for approval as part of the programme budget for 2014–2015.

(c) Foundation special purpose

93. The amount of \$25.7 million provides for \$300,000 of the apportioned staff costs for Habitat programme managers and \$25.4 million of project expenditure in line with the target project activities for the biennium.

(d) Technical cooperation

94. The amount of \$15.5 million provides for five posts and the apportioned staff costs of Habitat programme managers at a cost of \$1.4 million, and \$14.1 million of project expenditure in line with the target project activities of the biennium.

B. Subprogramme 2: Urban planning and design

95. Subprogramme 2 is aligned with focus area 2 of the six-year strategic plan 2014–2019. This subprogramme will be implemented jointly by the Urban Planning and Design Branch, all the regional

offices of UN-Habitat and the Project Office. The Urban Planning and Design Branch comprises the Regional and Metropolitan Planning Unit, the City Planning Extension and Design Unit and the Climate Change Planning Unit. Through this subprogramme, UN-Habitat will support Governments and cities with tested approaches, guidelines and tools to support urban growth and improved sustainability, efficiency and equity through planning and design at all levels and scales. Efforts will be focused on ensuring that planning and designing contribute to climate change mitigation and adaptation. Within the context of multilevel governance, a special focus will be placed on promoting key principles, including optimizing the population and economic density of urban settlements, where appropriate, promoting mixed land use, diversity and better connectivity. Throughout this approach, issues of social inclusion, including ensuring gender balance and the inclusion of vulnerable and disadvantaged groups, will be addressed and, where possible, locally and regionally defined urban planning and design traditions will be respected.

1. Objective

96. The overall objective of subprogramme 2 is to improve policies, plans and designs for more compact, socially inclusive, better integrated and connected cities that foster sustainable urban development and are resilient to climate change, at the city, regional and national levels.

2. Strategy

97. Responsibility for the subprogramme is vested in the Urban Planning and Design Branch. Based on its comparative advantage and in line with the six-year strategic plan 2014–2019, the subprogramme will lead the implementation of subprogramme 2. The strategy for achieving the planned results is informed by evidence-based best practice and lessons learned from experience. The strategy for implementing the programme of work is as follows:

(a) Promoting, within the context of decentralization and multilevel governance and through multi-stakeholder processes, a number of critical principles, such as optimizing the population and economic density of urban settlements, where appropriate, ensuring mixed land-use, diversity, better social capital, innovation and improved connectivity in order to take advantage of agglomeration of economies and to minimize mobility demand. In particular, the new approach will emphasize the need to plan in advance for urban population growth, on a scale commensurate with the challenges faced, in a phased approach and with a view to fostering job creation and the development of social capital. The approach will build on local cultural values and will promote endogenous development within the context of regional, national and global development;

(b) Improving urban planning and design at the national, regional and local levels will be operationalized within the framework of decentralization, as broadly provided for by the International Guidelines on Decentralization and the Strengthening of Local Authorities and other key UN-Habitat documents;

(c) Developing at the regional and global levels a set of tested approaches, guidelines and tools to support the management of growth and improved sustainability, efficiency and equity of cities through planning and design on various scales, including slum and neighbourhood, city, regional, national and supranational scales;

(d) Making such approaches, guidelines and tools available to city, subnational and national Governments;

(e) Building capacity at local, national and global levels, supported by dedicated strategies and programmes, including human resources, tool development, organizational development and institutional strengthening components;

(f) Ensuring that urban plans and designs are accompanied by effective implementation mechanisms, in consultation with all relevant sectors and actors;

(g) Performing a catalytic role by reinforcing existing partnerships, and establishing new strategic partnerships with agencies of the United Nations system and with non-governmental organizations, educational establishments, scientific institutions and professional bodies that have the collective financial resources, infrastructure and expertise to work with the subprogramme;

(h) Working within the United Nations country team framework to mainstream urban planning and design within the overall approach to urban sector support.

3. External factors

98. It is anticipated that planned results will be achieved, provided, first, that there is national commitment to urban policy reform for achieving the objective at a sufficient scale; second, that cities

have the financial and technical resources necessary to implement plans and policies; and, third, that the evolving international mechanisms to address climate change encourage cities to act on climate change mitigation and adaptation.

Table 13

Subprogramme 2 – Urban planning and design-expected accomplishments and indicators of achievement

| Expected accomplishments | Indicators and performance measures |
|--|---|
| (a) Improved national urban policies and spatial frameworks for compact, integrated and connected cities adopted by partner metropolitan, regional and national authorities | <p>(i) Number of partner metropolitan, regional and national authorities that have adopted national urban policies or spatial frameworks that support compact, integrated and connected cities</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not available</p> <p><i>Estimate:</i> December 2013: 4</p> <p><i>Target:</i> December 2015: 12</p> |
| (b) Improved policies, plans and designs for compact, integrated and connected cities and neighbourhoods adopted by partner cities | <p>(i) Number of partner cities that have adopted policies, plans and designs for compact, integrated and connected cities and neighbourhoods</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not available</p> <p><i>Estimate:</i> December 2013: 10</p> <p><i>Target:</i> December 2015: 20</p> |
| (c) Improved policies, plans and strategies that contribute to the mitigation of and adaptation to climate change adopted by partner city, regional and national authorities | <p>(i) Number of partner city, regional and national authorities that have adopted policies, plans and strategies that contribute to climate change mitigation and adaptation</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 5</p> <p><i>Estimate:</i> December 2013: 15</p> <p><i>Target:</i> December 2015: 25</p> |

4. Outputs⁵

99. During the biennium 2014–2015, the Urban Planning and Design Branch, jointly with all regional offices, the Project Office and other branches, and in line with the matrix of organizational arrangements, will produce the following outputs:

1. Servicing of intergovernmental and expert bodies

(a) *Other services provided: expert group meetings*

- (i) Expert group meetings on the United Nations Guidelines on Urban and Territorial Planning, National Urban Policy, City-region Planning; Metropolitan Planning; and Public Space [6]

⁵ The figures in square brackets [] denote the number of outputs. The letters in curly brackets { } denote the language in which the reports will be prepared.

- (b) *Assistance to representatives and rapporteurs*
 - (i) Contribution to the annual meetings of the working groups under the Conference of the Parties to the United Nations Framework Convention on Climate Change [2]
 - (ii) Contribution to the Conference of the Parties to the Convention on Biological Diversity and related activities of the global partnership to mainstream sustainable urban development into the biodiversity agenda [1]

2. Other substantive activities

- (a) *Non-recurrent publications:*
 - (i) Review of experiences in national urban policies [1]
 - (ii) Documentation of the state of the art in urban planning [1]
 - (iii) Review of national urban planning policies and frameworks [4]
 - (iv) Publication on the results of global seminars on transforming cities through place-making and public space [1]
 - (v) Publication with case examples on the ways in which urban planning can address climate change challenges [1]
 - (vi) Review of urban policies from a climate change perspective and review of climate change policies from an urban perspective [4]
- (b) *Technical material:*
 - (i) United Nations Global Guidelines on Urban and Territorial Planning [1]
 - (ii) Tool-kit for national urban policy [1]
 - (iii) Policy guidelines and tool-kit on key topics related to regional and metropolitan planning [2]
 - (iv) Tool-kit on place-making and public space [1]
 - (v) Policy guidance notes on key topics related to cities and climate change [2]
 - (vi) Normative guidance on the ways in which urban and peri-urban agriculture contributes to climate change mitigation and adaptation [1]
- (c) *Special events:*
 - (i) Meeting of partners on urban and regional planning [4]
 - (ii) Partners meetings on cities and climate change [2]

3. Technical cooperation

- (a) *Advisory services for improving policies, plans and designs for more compact, socially inclusive, better integrated and connected cities that support sustainable urban development and are resilient to climate change*
 - (i) Advisory services on national urban policies, metropolitan, city-region planning and urban green economy issues [8]
 - (ii) Advisory services on city and neighbourhood-level planning, including planned city extensions and public space planning [8]
 - (iii) Advisory services on cities in urban environment, urban agriculture, climate change and urban biodiversity issues [8]
- (b) *Group training courses (seminars, workshops and symposiums) to strengthen services for improving policies, plans and designs for more compact, socially inclusive, better integrated and connected cities that support sustainable urban development and are resilient to climate change*
 - (i) Training measures for local and subnational government planning

- officials on sustainable urban patterns and landscape connectivity [2]
- (ii) Training events at the national level, including exchange of best practice with different regional or metropolitan authorities [6]
- (iii) Group training on sustainable planning principles for different groups of stakeholders (including planners, leaders and communities) [6]
- (iv) Training events on cities and climate change at the national level [6]
- (c) *Field projects that contribute towards improved policies, plans and designs for more compact, socially inclusive, better integrated and connected cities that support sustainable urban development and are resilient to climate change*
- (i) Field projects to support national urban policy development and review: Bangladesh, Colombia, Lebanon, Liberia, Pakistan, State of Palestine, Rwanda, Saudi Arabia and South Sudan [9]
- (ii) Field projects on regional planning, city-region planning and metropolitan planning: Colombia, Ecuador, Egypt, Haiti, Lebanon, Mexico, Mozambique, Pakistan, Philippines and Uganda [10]
- (iii) Field projects on city-wide planning: Bangladesh, Brazil, Egypt, Haiti, Kenya, Libya, Liberia, Nigeria, State of Palestine, Philippines, Rwanda, Serbia, South Sudan and Sri Lanka [14]
- (iv) Field projects on planned city extensions: Colombia, Egypt, El Salvador, Kenya, Mozambique and Rwanda [6]
- (v) Field projects on neighbourhood and public space planning: Ecuador, Haiti, Kenya and Mexico [4]
- (vi) Field projects to develop urban low emission development strategies: Brazil, India, Indonesia and South Africa [4]
- (vii) Field projects to implement planning strategies for Urban and peri-urban agriculture: Burkina Faso, Nepal and Sri Lanka [3]
- (viii) Field projects on cities and climate change: Bangladesh, Cambodia, Ecuador, Mozambique, Myanmar, Nepal, Pacific subregion, Pakistan, Philippines, Sri Lanka, Uganda and Viet Nam [12]

Resource requirements (\$48,880,000)

100. The resource requirements by source of funding for this area are set out in table 14.

Table 14

Resource requirements by source of funds

| Category | Resources (thousands of United States dollars) | | |
|----------------------------|--|------------------|-----------------|
| | 2012–2013 | Change | 2014–2015 |
| Foundation general purpose | | | |
| Post | 2 745.3 | (183.4) | 2 561.9 |
| Non-post | 3 103.5 | (1 428.5) | 1 675.0 |
| Subtotal | 5 848.8 | (1 611.9) | 4 236.9 |
| Regular budget | | | |
| Post | 1 595.2 | – | 1 595.2 |
| Non-post | 169.3 | – | 169.3 |
| Subtotal | 1 764.5 | – | 1 764.5 |
| Foundation special purpose | | | |
| Post | 471.1 | (217.3) | 253.8 |
| Non-post | 11 611.8 | 2 496.6 | 14 108.4 |
| Subtotal | 12 082.9 | 2 279.3 | 14 362.2 |

| | | | |
|--------------------------|-----------------|----------------|-----------------|
| Technical cooperation | | | |
| Post | 1 676.6 | (503.9) | 1 172.7 |
| Non-post | 26 136.8 | 1 206.9 | 27 343.7 |
| Subtotal | 27 813.4 | 703.0 | 28 516.4 |
| Total by category | | | |
| Post | 6 488.2 | (904.6) | 5 583.6 |
| Non-post | 41 021.4 | 2 275.0 | 43 296.4 |
| Total | 47 509.6 | 1 370.4 | 48 880.0 |

101. The proposed budget for subprogramme 2, Urban planning and design, is estimated at \$48.9 million as detailed in table 14, of which \$4.2 million will be funded from the Foundation general purpose fund, \$1.8 million from the United Nations regular budget, \$14.4 million from the Foundation special purpose fund and \$28.5 million from the technical cooperation fund. Resources of the regional offices and the Project Office have been distributed across the subprogrammes.

(a) Foundation general purpose

102. The amount of \$4.2 million provides for 14 posts and the apportioned staff costs for Habitat programme managers at a cost of \$2.6 million, and \$1.6 million in non-post costs. Non-post costs cover costs associated with consultants and experts, travel, contractual services, payments to implementing partners, general operating expenses, supplies and materials, furniture and equipment and reimbursement for services provided by the United Nations Office at Nairobi.

(b) Regular budget

103. The amount of \$1.8 million provides for seven posts at a cost of \$1.6 million and non-post costs of \$200,000. Resource requirements have been maintained at the same level pending a review of the proposals to be submitted to the General Assembly for approval as part of the programme budget for 2014–2015.

(c) Foundation special purpose

104. The amount of \$14.4 million provides for the apportioned staff costs for Habitat programme managers at a cost of \$300,000 and \$14.1 million of project expenditure in line with the target project activities for the biennium.

(d) Technical cooperation fund

105. The amount of \$28.5 million provides for four posts and the apportioned staff costs for Habitat programme managers at a cost of \$1.2 million and \$27.3 million of project expenditure in line with the target project activities of the biennium.

C. Subprogramme 3: Urban economy

106. Subprogramme 3 is aligned with focus area 3 of the six-year strategic plan 2014–2019. This subprogramme will be implemented jointly by the Urban Economy Branch, all the regional offices of UN-Habitat and the Project Office. The Urban Economy Branch comprises the Local Economic Development Unit, the Municipal Finance Unit, the Youth Unit and the Job Creation Unit. The main efforts will be focused on promoting urban strategies and policies that strengthen the capacity of cities to realize their full potential as drivers of economic development, and of wealth and employment creation. Special attention will be paid to the formulation and implementation of urban strategies and policies that will promote and boost the participation of both men and women, enhance municipal finance and contribute to the creation of decent urban jobs and livelihoods that will increase economic empowerment, in particular for youth and women.

1. Objective

107. The overall objective of subprogramme 3 is to improve urban strategies and policies that are supportive of inclusive economic development, the creation of decent jobs and livelihoods, and enhanced municipal finance.

2. Strategy

108. Responsibility for subprogramme 3 rests with the Urban Economy Branch, which leads the implementation of the subprogramme. The subprogramme is dedicated to strengthening the capacity of cities to create resources that will enable equitable economic development, employment creation and financing of urban growth, with a focus on the specific needs of youth, women and other vulnerable groups. The subprogramme will take the lead in applying urban economic approaches to realize the

objective of sustainable urbanization. The subprogramme will seek to scale up interventions and play a catalytic role, along with established partners, in building capacity for integrated economic approaches to management, planning and financing of cities. The subprogramme will apply its tools on economic analysis, strategies and approaches to support economic development components, articulation and linkage with the work of other subprogrammes, such as planning, basic urban services, land and housing. The strategies for achieving the planned results include the following:

- (a) Working through regional offices and key partners at national, regional and global level, the subprogramme will customize region-specific tools, strategies and policies to provide cities with innovative economic solutions to manage their growth in a sustainable manner;
- (b) Using as leverage the experience gathered by UN-Habitat in developing and field-testing a number of local economic development and financial management toolkits, the subprogramme will work with cities to develop integrated approaches to improve their productivity and competitiveness by building upon local capacity. This will be achieved by supporting the design and implementation of inclusive city-wide economic development policies and strategies in partnership with local authorities, community leaders, the private sector and other intergovernmental organizations;
- (c) Advocating best practice in the area of city-wide economic development, shared through the implementation of projects in partner cities;
- (d) Identifying, developing, testing and disseminating appropriate forms of municipal financing to fund urban development in cities to manage their growth more effectively. The subprogramme will work closely with the urban legislation team to ensure an enabling legislative environment for municipalities to operate and improve upon;
- (e) Assisting local authorities in improving current operational efficiency and accessing sources of finance by building capacity to deploy innovative municipal revenue generation mechanisms and harnessing local assets, leading to improved local service delivery and infrastructure;
- (f) Supporting the design and implementation of economic empowerment models for young men and women, based on UN-Habitat experience of implementing one-stop centres and managing Urban Youth Fund projects;
- (g) Increasing the access of young people to entrepreneurship, livelihoods and incomes, and developing model programmes derived from best practice to build the capacity of local authorities and youth non-governmental organizations to mainstream such factors into their programmes and services;
- (h) Stepping up existing partnerships with Habitat Agenda partners and United Nations agencies to provide partner cities with state-of-the-art tools, thereby building better synergy between local authorities and other key partners, to seize emerging economic development opportunities, and to tackle the challenges posed by unemployment and the lack of income-generating opportunities.

3. External factors

109. It is anticipated that UN-Habitat will be able to deliver its planned programme of work provided, first, that there is political will and commitment to the successful implementation of city-based strategies and full participation of all key stakeholders at city, regional and national level; and, second, that there is international recognition of the unique role that cities play in meeting national economic and employment objectives.

Table 15

Subprogramme 3 – Urban economy-expected accomplishments and indicators of achievement

| Expected accomplishments | Indicators and performance measures |
|---|---|
| (a) Improved capacity of partner cities to adopt strategies supportive of inclusive economic growth | (i) Number of partner cities have prepared local economic development plans <i>Performance measures</i> <i>Baseline:</i> December 2011: not available <i>Estimate:</i> December 2013: 3 <i>Target:</i> December 2015: 8 |

| Expected accomplishments | Indicators and performance measures |
|--|--|
| | (ii) Number of partner cities that have prepared set priorities based on local economic assessment Performance measures <i>Baseline:</i> December 2011: not available <i>Estimate:</i> December 2013: 5 <i>Target:</i> December 2015: 15 |
| (b) Improved capacity of targeted cities to adopt urban policies and programmes supportive of increased employment, livelihoods and opportunities, and with focus on urban youth and women | (i) Number of partner cities that have adopted programmes supportive of increased employment opportunities and livelihoods, with focus on urban youth and women Performance measures <i>Baseline:</i> December 2011: 4 <i>Estimate:</i> December 2013 10 <i>Target:</i> December 2015: 25 |
| (c) Improved capacity of partner cities to adopt policies, plans and strategies for improved urban and municipal finance | (i) Number of partner cities that have adopted programmes and strategies for improved urban and municipal finance Performance measures <i>Baseline:</i> December 2011: not available <i>Estimate:</i> December 2013: 3 <i>Target:</i> December 2015: 5 |

4. Outputs⁶

110. During the biennium 2014–2015, the Urban Economy Branch, jointly with all regional offices, the Project Office and other branches, and in line with the matrix of organizational arrangements, will deliver the following outputs:

1. Servicing intergovernmental and expert bodies

(a) Other services provided: expert group meetings

- (i) Expert group meeting on innovative trends and tools on urban development financing in developing countries [1]
- (ii) Expert group meeting on using information communication and technology to enhance youth participation in decision-making and urban planning [1]
- (iii) Expert group meeting on the economics of urban form: trade-offs in, urban growth and spatial planning choices and the economic impact thereof [1]

2. Other substantive activities

(a) Non-recurrent publications

- (i) Innovative trends, tools and case studies on financing urban development [1]
- (ii) Innovative ways of financing public space in developing countries: case studies and lessons [1]
- (iii) Role of municipal companies in urban development and provision and management of services: review of experiences and trends [1]

⁶ The figures in square brackets [] denote the number of outputs. The letters in curly brackets { } denote the language in which the reports will be produced.

- (iv) Case studies on inter-municipal cooperation for economic development [1]
 - (v) Tools and case studies on urban regeneration for economic development [1]
 - (vi) Economics of urban form: case studies
 - (vii) Urban policies supportive of home-based economic activities with a particular focus on women in urban slums [1]
 - (viii) Report on the state of global urban youth [1] {E, S}
 - (ix) Reports on the state of urban youth in Asia, the Middle East and North Africa [1]
- (b) *Special events: World Urban Forum*
- Dialogue or round table at the World Urban Forum 7 [1]

3. Technical cooperation

- (a) *Advisory services that contribute towards improved urban strategies and policies that support inclusive economic development, the creation of decent jobs and livelihoods, and enhanced municipal finance*
- (i) Advisory services on the territorial economic impact of major investments (Brazil, Colombia, Mozambique) [3]
 - (ii) Advisory services on alternative economic opportunities in cities with declining major employer sectors due to market forces or natural and environmental conditions [1]
 - (iii) Cost-benefit analysis to support decision-making in planning and infrastructure investments [1]
 - (iv) Local economic development approaches and tools on participatory budgeting [10]
 - (v) Peer-review mechanism for advice and guidance on regional and national state-of-youth reports [1]
 - (vi) Advisory services for business models and innovations infrastructure financing; Regional Office for Africa: 3; Regional Office for Asia 3; Regional Office for Arab States 2; Regional Office for Latin America and the Caribbean: 2 [10]
- (b) *Field projects that contribute towards improved urban strategies and policies that support inclusive economic development, the creation of decent jobs and livelihoods and enhanced municipal finance*
- (i) Field projects supporting economic clusters and value chains with high social impact (Colombia and El Salvador) [2 projects]
 - (ii) Field projects supporting strategies to develop local markets, employment and livelihood opportunities with particular focus on agrarian economies and post-crisis conditions (Liberia, Somalia, South Sudan and the Sudan)
 - (iii) Field projects supporting the urban economy component within the framework of the Achieving Sustainable Urban Development Programme (ASUD) in 15 cities in five countries (Colombia, Egypt, Mozambique, Philippines and Rwanda) [5 projects]
 - (iv) Field projects supporting municipal finance with a focus on revenue enhancement, asset management, creditworthiness and investment planning in four ASUD countries (Colombia, Mozambique, Philippines and Rwanda) [4 projects]
 - (v) Enhancing access to credit for livelihood and small business development in collaboration with development banks and financial institutions (three East African countries) [3 projects]

- (vi) Establishing and strengthening of youth one-stop centres (Brazil, Burkina Faso, Cameroon, Democratic Republic of the Congo, Ghana, Nigeria, Rwanda, Somalia, the Sudan and Uganda) [5 projects]
 - (vii) Establishing and expanding national windows for urban youth opportunities funds (India, Mauritius and Qatar) [4 projects]
 - (viii) Strengthening the participation of youth in decision-making and urban planning through the use of information communication and technology and multilevel governance programmes (with the Governance and Decentralization Unit [1])
 - (ix) Field projects on construction techniques, the establishment of small entrepreneurs and the promotion of peri-urban agriculture, focusing on unemployed youth and women (in the five states of Darfur and Blue Nile State in the Sudan) [2]
 - (x) Microgrant projects in partnership with foundations and the private sector to enhance economic opportunities for young people, such as the Rotary Club and Safaricom [2]
- (c) *Group training measures (seminars, workshops and symposiums) that strengthen capacity for improving urban strategies and policies that support inclusive economic development, the creation of decent jobs and livelihoods, and enhanced municipal finance*
- (i) Group training courses on construction techniques, establishment of small entrepreneurs and the promotion of peri-urban agriculture, focusing on unemployed youth and women (in the five states of Darfur and the Blue Nile State in the Sudan) [3]
 - (ii) Group training courses on local economic assessment and planning within the framework of ASUD [2]

Resource requirements (\$38,055,900)

111. The resource requirements by source of funding for this area are set out in table 16.

Table 16

Resource requirements by source of funds

| Category | Resources (thousands of United States dollars) | | |
|----------------------------|--|------------------|-----------------|
| | 2012–2013 | Change | 2014–2015 |
| Foundation general purpose | | | |
| Post | 3 020.2 | (1 184.3) | 1 835.9 |
| Non-post | 3 103.5 | (1 590.8) | 1 512.7 |
| Subtotal | 6 123.7 | (2 775.1) | 3 348.6 |
| Regular budget | | | |
| Post | 2 682.0 | – | 2 682.0 |
| Non-post | 310.4 | – | 310.4 |
| Subtotal | 2 992.4 | – | 2 992.4 |
| Foundation special purpose | | | |
| Post | 180.3 | 128.5 | 308.8 |
| Non-post | 8 088.4 | (1 925.0) | 6 163.4 |
| Subtotal | 8 268.7 | (1 796.5) | 6 472.2 |
| Technical cooperation | | | |
| Post | 598.9 | 337.7 | 936.6 |
| Non-post | 15 682.0 | 8 624.1 | 24 306.1 |
| Subtotal | 16 280.9 | 8 961.8 | 25 242.7 |
| Total by category | | | |
| Post | 6 481.4 | (718.1) | 5 763.3 |
| Non-post | 27 184.3 | 5 108.3 | 32 292.6 |
| Total | 33 665.7 | 4 390.2 | 38 055.9 |

112. The proposed budget for subprogramme 3, Urban economy, is estimated at \$38.0 million, as reflected in table 16, of which \$3.3 million will be funded from the Foundation general purpose fund; \$3.0 million from the regular budget; \$6.5 million from the Foundation special purpose fund; and \$25.2 million from the technical cooperation fund. Resources of the regional offices and the Project Office have been distributed across the subprogrammes.

(a) Foundation general purpose

113. The amount of \$3.3 million provides for 10 posts and the apportioned staff costs of Habitat programme managers at a cost of \$1.8 million, and \$1.5 million of non-post costs. Non-post costs cover costs associated with consultants and experts, travel, contractual services, payments to implementing partners, general operating expenses, supplies and materials, furniture and equipment, and reimbursement for services provided by the United Nations Office at Nairobi.

(b) Regular budget

114. The amount of \$3.0 million provides for 11 posts at a cost of \$2.7 million and non-post costs of \$300,000. Resource requirements have been maintained at the same level pending a review of the proposals to be submitted to the General Assembly for approval as part of the programme budget for 2014–2015.

(c) Foundation special purpose

115. The amount of \$6.5 million provides for one post and the apportioned staff costs for Habitat programme managers at a cost of \$300,000, and \$6.2 million of project expenditure in line with the target project activities for the biennium.

(d) Technical cooperation

116. The amount of \$25.2 million provides for three posts and the apportioned staff costs for Habitat programme managers at a cost of \$900,000, and \$24.3 million of project expenditure in line with the target project activities of the biennium.

D. Subprogramme 4: Urban basic services

117. Subprogramme 4 is aligned with focus area 4 of the six-year strategic plan 2014–2019. This subprogramme will be implemented jointly by the Urban Basic Services Branch, all the regional offices of UN-Habitat and the Project Office. The Urban Basic Services Branch comprises the Solid Waste Unit, the Urban Energy Unit, the Urban Mobility Unit and the Water and Sanitation Unit. During the biennium, emphasis will be placed on strengthening policies and institutional frameworks for expanding equitable access to urban basic services, especially for the poor. Policy and technical support will be provided to partner countries and local authorities in the areas of water and sanitation, urban waste management, urban mobility and urban energy.

1. Objective

118. To increase equitable access to urban basic services and the standard of living of the urban poor.

2. Strategy

119. Responsibility for the implementation of this subprogramme is vested in the Urban Basic Services Branch. A key focus of subprogramme 4 is the strengthening of policies and institutional frameworks for increasing equitable access to urban basic services and improving the standard of living of the urban poor. Policy and technical assistance will be provided to partner cities and regional and national authorities as follows: first, to rehabilitate and expand urban infrastructure and services to keep pace with growing demand; second, to ensure institutional efficiency and effectiveness in service provision; and third to provide adequate levels of service for the urban poor. The subprogramme will take into account the needs and priorities of women, men and vulnerable groups in decision-making and the implementation of projects, and will address the gender imbalances and inequalities in the provision of sustainable water and sanitation, urban infrastructure, energy, transport and waste management. The strategies for achieving the results in the four programmatic clusters of urban mobility and, urban energy, water and sanitation, urban waste management will be as follows:

(a) The subprogramme will promote sustainable mobility options with a particular emphasis on the needs of the urban poor in developing countries. The central task will be to encourage transport policies and investments that contribute to improved urban productivity, reduce energy consumption and promote better living and working conditions for urban residents. Focus will be on three strategic areas: global advocacy; knowledge dissemination and technical assistance in the

development of national policy frameworks; and investment strategies for enabling sustainable urban mobility;

(b) Increasing access to modern, clean and reliable energy services for the urban poor. Emphasis will also be on energy efficiency and the use of renewable energy technologies by promoting renewable energy technologies and mainstreaming energy efficiency measures into housing policies, building codes and building practices. Key activities will include demonstration projects, advocacy and raising awareness of the importance of energy for sustainable and equitable development and participatory engagement in policy and legislation;

(c) Supporting efforts by Governments in developing countries in their pursuit of the Millennium Development Goals for water and sanitation. This will be achieved through city-level demonstration projects, institutional strengthening of service providers and engagement in national policy and reform processes. Focus will also be placed on advocacy and support for water and sanitation-related political processes, events to raise the profile of pro-poor urban water and sanitation issues and their integration into sector policy and practice;

(d) Enhancing the capacity of local actors in solid waste and wastewater management. Support will be provided for pilot demonstration projects, including technical assistance in setting-up community-based solid waste management systems;

(e) The subprogramme will catalyse the flow of investment into urban basic services by forging strategic partnerships with regional development banks and bilateral donors. UN-Habitat will provide pre-investment resources and the development banks will provide resources for the capital-intensive components of the interventions. The catalytic role will also be achieved through city-level model demonstration projects, institutional strengthening of service providers and engagement in national policy and reform processes. The subprogramme will engage in advocacy efforts with other development partners with financial resources to replicate and scale up successful model projects.

3. External factors

120. The subprogramme is expected to achieve its planned results on the assumption that, first, there will be continued interest and willingness by development agencies, financial institutions, national Governments and the private sector to support the development and implementation of policies for increasing equitable access to sustainable urban basic services, including safe drinking water, adequate sanitation, waste collection and management, domestic energy and sustainable transport; and, second, that there will be political stability, commitment, goodwill and conditions for good governance in the participating cities, regions and countries.

Table 17

Subprogramme 4 – Urban basic services – expected accomplishments and indicators of achievement

| Expected accomplishments | Indicators and performance measures |
|--|---|
| (a) Improved policies and guidelines on equitable access to sustainable urban basic services implemented by local, regional and national authorities | (i) Increased number of partner local, regional and national authorities implementing policies and the International Guidelines on Decentralization and Access to Basic Services for All <i>Performance measures</i> <i>Baseline:</i> December 2011: 157 local authorities, 25 national authorities and 3 regional bodies <i>Estimate:</i> December 2013: 165 local authorities, 27 national authorities and 5 regional bodies <i>Target:</i> December 2015: 170 local authorities, 30 national authorities and 7 regional bodies |
| (b) Increased flow of investment into urban basic services catalysed by UN-Habitat programmes in partner countries with a focus on the urban poor | (i) Amount of investment in urban basic services catalysed by UN-Habitat programmes in partner countries <i>Performance measures</i> <i>Baseline:</i> December 2011: \$7.9 million <i>Estimate:</i> December 2013: \$10 million <i>Target:</i> December 2015: \$15 million |

| Expected accomplishments | Indicators and performance measures |
|---|---|
| (c) Increase in the use of sustainable urban basic services in partner cities | <p data-bbox="735 180 1421 247">(i) Percentage of consumers in partner cities with access to sustainable water and sanitation services</p> <p data-bbox="735 258 1421 289">Performance measures</p> <p data-bbox="735 300 1421 331"><i>Baseline:</i> December 2011: 50 per cent</p> <p data-bbox="735 342 1421 373"><i>Estimate:</i> December 2013: 60 per cent</p> <p data-bbox="735 384 1421 415"><i>Target:</i> December 2015: 70 per cent</p> <p data-bbox="735 447 1421 514">(ii) Percentage of households in partner cities using sustainable energy supply.</p> <p data-bbox="735 525 1421 556">Performance measures</p> <p data-bbox="735 567 1421 598"><i>Baseline:</i> December 2011: not available</p> <p data-bbox="735 609 1421 640"><i>Estimate:</i> December 2013: 45 per cent</p> <p data-bbox="735 651 1421 682"><i>Target:</i> December 2015: 50 per cent</p> <p data-bbox="735 714 1421 781">(iii) Percentage of population in partner cities using sustainable modes of transport</p> <p data-bbox="735 791 1421 823">Performance measures</p> <p data-bbox="735 833 1421 865"><i>Baseline:</i> December 2011: 50 per cent</p> <p data-bbox="735 875 1421 907"><i>Estimate:</i> December 2013: 55 per cent</p> <p data-bbox="735 917 1421 942"><i>Target:</i> December 2015: 60 per cent</p> |

4. Outputs⁷

121. During the biennium, the Urban Basic Services Branch, jointly with all regional offices, other branches and the Project Office, will deliver the following outputs in line with the matrix of organizational arrangements:

1. Other substantive activities

- (a) *Assistance to intergovernmental bodies and United Nations representatives and rapporteurs under their established mandates*
 - (i) Assistance to the Secretary-General's Advisory Group on Energy and Climate Change [1]
 - (ii) Assistance to the Secretary-General's Technical Working Group on Sustainable Transport
 - (iii) Assistance to UN-Energy [1]
 - (iv) Assistance to UN-Water [1]
 - (v) Assistance to the Open Working Group on Sustainable Development Goals, in relation to the goals for energy, sustainable transport, water and sanitation [1]
- (b) *Non-recurrent publications*
 - (i) Annual report on the state of urban basic services [2]
 - (ii) Publication on mobility in the future city [1]
 - (iii) Contribution to the World Water Development Report [1]
 - (iv) Report on lessons learned in urban basic services projects [2]

⁷ The figures in square brackets [] denote the number of outputs. The letters in curly brackets { } denote the language in which the reports will be produced.

- (v) Guide on urban planning, design, public space and basic services [1]
- (vi) Guide on the financing of basic services [1]
- (vii) Guide on the regulation of basic services [1]
- (viii) Publication on resilient cities and basic services [1]
- (ix) Publication on the state of the art in city drainage [1]

2. Technical cooperation

(a) Advisory services that increase equitable access to urban basic services and the standard of living of the urban poor

- (i) Advisory services on urban mobility to partner countries in Africa and Asia (two missions per country) [30]
- (ii) Advisory services on street planning and design and the integration of public transport with walking and cycling in Africa (Burkina Faso, Cameroon, Ethiopia, Kenya, Mozambique, Rwanda, Senegal, Togo and Uganda) and Asia (China, India, Lao People's Democratic Republic, Mongolia, Nepal and Philippines) [15]
- (iii) Advisory services on urban energy to partner countries in Africa, Asia and Latin America and the Caribbean [12]
- (iv) Advisory services on urban water and sanitation to partner countries in Africa, Asia and Latin America and the Caribbean [20]
- (v) Advisory services to the Government of South Sudan and the ten State Governments on water sector reform [4]
- (vi) Advisory services to the five countries of the East African Community on the formulation of the third phase of the Lake Victoria Water and Sanitation Initiative, for funding by the African Development Bank [6]
- (vii) Advisory services to the Government of Kenya on the formulation of a water and sanitation investment plan for the town of Kisumu, for funding by the European Investment Bank [4]
- (viii) Advisory services to the Government of the United Republic of Tanzania on the organizational arrangements for the implementation of a water and sanitation programme (funded by the European Investment Bank) in the city of Mwanza and four satellite towns [4]
- (ix) Advisory services on human values-based water, sanitation and hygiene education in China, India, the Lao People's Democratic Republic and Nepal [4]
- (x) Advisory services on urban water and sanitation in Bangladesh, Bhutan, Cambodia, India, Lao People's Democratic Republic, Nepal and Viet Nam [7]
- (xi) Advisory services on urban waste management to partner countries in Africa, Asia and Latin America and the Caribbean [12]
- (xii) Wastewater management in Cambodia, Lao People's Democratic Republic and Viet Nam [3]
- (xiii) Advisory services to 13 African countries under the urban basic services provided by the Regional Office for Africa [40]
- (xiv) Advisory services on policy implementation to Somalia [1]

- (xv) Project on strategic urban plans for small cities in Egypt under the Regional Office for the Arab States [1]
 - (xvi) Advisory services on the development of institutional organizational arrangements for a utility in Iraq and strategies for improved public participation and customer orientation in water and sanitation services developed under the Regional Office for the Arab States [2]
 - (xvii) Advisory services to Latin America and the Caribbean countries to support urban basic services [6]
 - (xviii) Advisory services on the analysis and updating of solid waste management strategy, policy and provision of support to designing capital investment plans, under the Regional Office for the Arab States [1]
 - (xix) Advisory services to the Regional Office for Africa on using sustainable modes of transport to one country [4]
- (b) *Group training measures (seminars, workshop and symposiums) that strengthen capacity for increased equitable access to urban basic services and the standard of living of the urban poor*
- (i) Training and knowledge dissemination events on urban mobility in Africa, Asia, and Latin America and the Caribbean [6]
 - (ii) Training and knowledge dissemination on street planning, design and integration of cycling and walking with public transport in Africa (Burkina Faso, Cameroon, Ethiopia, Kenya, Mozambique, Rwanda, Senegal, Togo and Uganda) and Asia (China, India, Lao People's Democratic Republic, Mongolia and Nepal) [14]
 - (iii) Training and knowledge dissemination events on urban water and sanitation in Africa, Asia and Latin America and the Caribbean [6]
 - (iv) Training and knowledge dissemination events on urban energy in Africa, Asia and Latin America and the Caribbean []
 - a. Training and knowledge dissemination on energy efficiency in the built environment in Burundi, Kenya, Niger, Nigeria, Rwanda, Sierra Leone, Uganda, United Republic of Tanzania and Philippines [9]
 - b. Training and knowledge dissemination on sustainable urban energy access in Chad [1]
 - c. Training and knowledge dissemination on energy efficiency and sustainable urban energy in Mozambique [1]
 - d. Training and knowledge dissemination on pro-poor energy access in Brazil [Number to be determined]
 - (v) Training events under the Regional Office for Africa (6 in the Sudan and 5 in South Sudan) [11]
 - (vi) Group training sessions on strategic urban plans for small cities in Egypt, under the Regional Office for the Arab States [2]
 - (vii) Training sessions and workshops under the Regional Office for Latin America and the Caribbean (4) and the Regional Office for Africa (4) at the national level, including the exchange of best practice between countries and municipalities, and at the local level [8]
 - (viii) Group training measures within the framework of the ASUD programme in Egypt [2]
- (c) *Field projects that contribute towards equitable access to urban basic services and the standard of living of the urban poor*
- (i) Field projects under the Sustainable Mobility in Cities Programme, comprising projects on sustainable transport for East Africa, sustainable

- mobility in West African cities, sustainable mobility in Asia, and sustainable mobility in Latin America and the Caribbean [11]
- (ii) Field projects on promoting access to energy, energy efficiency and renewable energy in Africa, Asia, and Latin America and the Caribbean []
- a. Projects on converting waste to energy in public institutions: transforming municipal waste into energy; and the conversion and use of biogas in prisons and schools, among others (Kenya, Mali and Philippines) [3]
 - b. Promoting access to clean energy for sustainable urban development in Chad [1]
 - c. Development of the Ibadan-Abidjan Urban Energy Corridor for Sustainable Urbanization, Economic Growth and Poverty Eradication [Number to be determined]
 - d. Project on housing and basic infrastructure development for climate change adaptation in Cameroon [1]
- (iii) Field projects under the Water and Sanitation for Cities Programme to demonstrate innovative approaches for improved access to water and sanitation, improved capacity of service providers and continued policy dialogue in Africa, Asia, and Latin America and the Caribbean []
- a. Project on capacity-building for the African Development Bank-funded Lake Victoria Water and Sanitation Programme in 15 towns in East Africa [] 1
 - b. Water and sanitation development in 20 small towns in South Sudan
 - c. Technical support for the implementation of the European Investment Bank-funded Water and Sanitation Programme in Mwanza, United Republic of Tanzania [1]
 - d. Lake Tanganyika Water Supply, Sanitation and Environmental Management Programme [1]
 - e. School and community water and sanitation projects in Bangladesh, India, Nepal, Pakistan and Sri Lanka [1]
 - f. Global Sanitation Fund project in Nepal [1]
 - g. Strengthening the capacity of policy-makers and planners for wastewater management in Cambodia, Lao People's Democratic Republic and Viet Nam [1]
 - h. Mekong Regional Water and Sanitation Initiative (phase II) [1]
- (iv) Field projects on rapid planning for better environmental resource management, energy supply and energy efficiency [1]
- (v) Field projects on urban basic services aimed at strengthening the capacity of local, regional and national authorities in Africa (under the Regional Office for Africa) [8]
- (vi) Field projects on strategic urban plans for small cities in Egypt (under the Regional Office for the Arab States) [1]
- (vii) Field projects on access to basic shelter, social services and infrastructure in selected urban areas (5 states of Darfur and the Blue Nile State) through demonstration interventions, by applying woodless construction technologies and more appropriate standards for flood risk reduction (under the Regional Office for the Arab States) [5]
- (viii) Field project aimed at strengthening the capacity of local and national authorities in Latin America (under the Regional Office for Latin America and the Caribbean) [3]

- (ix) Field projects aimed at improving access to urban basic services at city, national and regional levels in the Asia and Pacific region in cooperation with the Governments of Bhutan, Japan, Mongolia, Myanmar and Philippines [5 national Governments, 36 regions and 66 cities]
- (x) Projects aimed at leveraging investments in urban basic services under the water and sanitation for cities programmes in Africa, Asia, and Latin America and the Caribbean [7]
- (xi) Projects aimed at leveraging investment in urban basic services in Africa (under the Regional Office for Africa) [3]
- (xii) Field projects to decentralize the delivery of basic services in support of community-based solid-waste management systems at the local level for selected locations in Iraq (under the Regional Office for Arab States) [2]
- (xiii) Field project aimed at promoting sustainable transport in Nigeria (under the Regional Office for Africa) [1]
- (xiv) Field projects on access to basic services in Somalia [15]
- (xv) Field projects on investment in urban basic services in Somalia [7]
- (xvi) Field projects on the use of sustainable urban basic services in partner cities in Somalia [15]
- (xvii) Field projects in the use of modern energy in Somalia [1]

Resource requirements (\$63,363,700)

122. The resource requirements by source of funding for this area are set out in table 18.

Table 18
Resource requirements by source of funds

| Category | Resources (thousands of United States dollars) | | |
|----------------------------|--|-------------------|-----------------|
| | 2012–2013 | Change | 2014–2015 |
| Foundation general purpose | | | |
| Post | 1 921.3 | 537.0 | 2 458.3 |
| Non-post | 3 103.5 | (1 672.0) | 1 431.5 |
| Subtotal | 5 024.8 | (1 135.0) | 3 889.8 |
| Regular budget | | | |
| Post | 1 822.1 | – | 1 822.1 |
| Non-post | 253.9 | – | 253.9 |
| Subtotal | 2 076.0 | – | 2 076.0 |
| Foundation special purpose | | | |
| Post | 450.9 | 157.7 | 608.6 |
| Non-post | 54 567.6 | (16 190.7) | 38 376.9 |
| Subtotal | 55 018.5 | (16 033.0) | 38 985.5 |
| Technical cooperation | | | |
| Post | 1 166.8 | 689.5 | 1 856.3 |
| Non-post | 26 136.8 | (9 580.7) | 16 556.1 |
| Subtotal | 27 303.6 | (8 891.2) | 18 412.4 |
| Total by category | | | |
| Post | 5 361.1 | 1 384.2 | 6 745.3 |
| Non-post | 84 061.8 | (27 443.4) | 56 618.4 |
| Total | 89 422.9 | (26 059.2) | 63 363.7 |

123. The proposed budget for subprogramme 4, Urban basic services, is estimated at \$63.4 million, as reflected in table 18, of which \$3.9 million is funded from the Foundation general purpose fund, \$2.1 million from the regular budget, \$39.0 million from the Foundation special purpose fund and

\$18.4 million from the technical cooperation fund. Resources of the regional offices and the Project Office have been distributed across all subprogrammes.

(a) Foundation general purpose

124. An amount of \$3.9 million provides for eight posts and the apportioned staff costs of Habitat programme managers at a cost of \$2.5 million, and non-post costs of \$1.4 million. Non-post costs cover costs associated with consultants and experts, travel, contractual services, payments to implementing partners, general operating expenses, supplies and materials, furniture and equipment and reimbursement for services provided by the United Nations Office at Nairobi.

(b) Regular budget

125. The amount of \$2.1 million provides for nine posts at a cost of \$1.8 million and non-post costs of \$300,000. Resource requirements have been maintained at the same level pending a review of the proposals to be submitted to the General Assembly for approval as part of the programme budget for 2014–2015.

(c) Foundation special purpose

126. The amount of \$39 million provides for one post and the apportioned staff costs of Habitat programme managers at a cost of \$600,000, and \$38.4 million of project expenditure, in line with the target project activities for the biennium.

(d) Technical cooperation

127. The amount of \$18.4 million provides for five posts and the apportioned staff costs of Habitat programme managers at a cost of \$1.9 million, and project expenditure of \$16.5 million, in line with the targeted project activities for the biennium.

E. Subprogramme 5: Housing and slum upgrading

128. This subprogramme is aligned with focus area 5 of the six-year strategic plan 2014–2019 and will be jointly implemented by the Housing and Slum Upgrading Branch in collaboration with other branches as appropriate, the regional offices of UN-Habitat and the Project Office. The Housing and Slum Upgrading Branch comprises the Slum Upgrading Unit and the Housing Unit. Responsibility for implementing subprogramme 5 is vested in the Housing and Slum Upgrading Branch. The Global Housing Strategy, mandated by Governing Council resolution 23/16, will guide the programmatic work for subprogramme 5. It will assist member States to analyse their housing policies and formulate housing strategies and interventions that are gender-responsive.

1. Objective

129. The overall objective of subprogramme 5 is to increase access to adequate housing, improve the standard of living in existing slums and curb the growth of new slums in an inclusive manner.

2. Strategy

130. This subprogramme will make a substantive and progressive contribution to the achievement of the Millennium Declaration and the Johannesburg Plan of Implementation, targeting slums. The strategy for implementing the work programme is based on a twin-track approach that focuses on improving the supply and affordability of serviced land and new housing opportunities at a scale that will both curb the growth of existing slums and the creation of new slums, while also implementing city-wide and national slum upgrading programmes to improve housing conditions and the quality of living conditions in existing slums. In summary, the strategy, through the development of the Global Housing Strategy to the Year 2025 and its implementation, will comprise the following elements:

(a) Evaluation of the results of the Global Strategy for Shelter to the year 2000, to understand both its achievements and its failures through the analysis of case studies and the identification of best practice, innovative approaches and modalities built on lessons learned;

(b) Development and implementation of a global housing strategy (as called for in Governing Council resolution 23/16), through a participatory process, including regional and national housing policy dialogues targeting improvements in adequate housing delivery and the living conditions of slum dwellers. The global housing strategy promotes a paradigm shift in housing policy and practice, which includes the adoption of evidence-based, well-informed and results-based policies. Innovations in implementation will include crowd-sourcing, crowd-funding and the fostering of unprecedented large-scale partnerships via the social and professional media, including efforts to enhance the role of the academic sector in serving communities and to enlist the services of professionals in volunteering and the private sector in contributing through corporate responsibility

modalities. Such innovations will enlarge the scale of activities and increase outreach, participation and inclusiveness, while reducing costs and the environmental footprint;

(c) Provision of support to local and national authorities in their efforts to develop housing strategies based on the principles and guidelines provided by the Global Housing Strategy. This will be achieved through the promotion of increased access to adequate housing, slum upgrading and prevention, and community development through five cross-cutting strategies: advocacy; knowledge management; policy advice; capacity development at the local, regional and global levels; and operational implementation support. Guidance will be developed to support partners to interact and work in a concerted way to implement their mandates and roles; capacity will be developed to support this through dedicated strategies and programmes, including human resources, tool development, resource and organizational development, and institutional strengthening components;

(d) Enhancing the opportunities to achieve a perceptible impact at the country level by catalyzing the concerted efforts of key actors, including local and national governments, civil society, universities, the private sector, the media, international stakeholders and others by encouraging the establishment of national Habitat committees (General Assembly resolution 62/198) to act as national focal points in urban and housing development, slum improvement and prevention, and community development.

3. External factors

131. The subprogramme aims to achieve its expected accomplishments on the following assumptions: first, that risks associated with changes in Government which could potentially slow down the progress of initiatives on land and housing will be minimal; second, that member States respond positively to the guidance and recommendations provided; and third, that human and financial resources are made available for the implementation of activities.

Table 19

Subprogramme 5 – Housing and slum upgrading-expected accomplishments and indicators of achievement

| Expected accomplishments | Indicators and performance measures |
|--|---|
| (a) Global Housing Strategy for inclusive housing, slum upgrading and slum prevention formulated | (i) Number of local, regional, national and supranational authorities and partners that have joined the Global Housing Strategy |
| | <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 4 national authorities</p> <p><i>Estimate:</i> December 2013: 10 national authorities;</p> <p><i>Target:</i> December 2015: 15 national authorities</p> |
| | <p>(ii) Number of partner countries that are working towards the realisation of the right to adequate housing as a component of the right to an adequate standard of living, particularly the reduction of unlawful forced evictions</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 28</p> <p><i>Estimate:</i> December 2013: 30</p> <p><i>Target:</i> December 2015: 32</p> |
| | <p>(iii) Number of countries that are implementing sustainable building codes and regulations</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 1</p> <p><i>Estimate:</i> December 2013: 2</p> <p><i>Target:</i> December 2015: 3</p> |

(b) National housing, slum upgrading and prevention strategies and programmes integrating the Global Housing Strategy vision and principles are formulated and implemented

(i) Number of national housing, slum upgrading and prevention strategies and programmes aligned to the Global Housing Strategy vision and principles formulated and implemented

Performance measures

Baseline: December 2011: 3

Estimate: December 2013: 9

Target: December 2015: 15

Performance measures

(ii) Increased number of partner national authorities commencing implementation of slum upgrading programmes

Baseline: December 2011: 12 national authorities and 29 cities.

Estimate: December 2013: 21 national authorities and 42 cities

Target: December 2015: 30 national authorities and 55 cities

(c) National housing, slum upgrading and prevention strategies and programmes integrating Global Housing Strategy vision and principles are mainstreamed and implemented at city and community level

(i) Number of city and community development plans formulated and implemented based on the national housing, slum upgrading and prevention strategies and programmes

Performance measures

Baseline: December 2011: 1

Estimate: December 2013: 2

Target: December 2015: 4

4. Outputs⁸

132. During the biennium, the Housing and Slum Upgrading Branch, working jointly with the regional offices, other branches and the Project Office, will deliver the following outputs in line with the matrix of organizational arrangements:

1. Other services provided

(a) *Expert group meetings:*

- (i) Expert group meeting on housing reforms and policies [1]
- (ii) Mayors' priorities expert group meeting on housing and slum upgrading [1]

2. Other substantive activities

(a) *Recurrent publications:*

Annual report documenting cases of forced evictions and alternative approaches to forced evictions [1]

(b) *Non-recurrent publications:*

- (i) Global Housing Strategy 2025 publications:
 - Housing and planning – public space, mixed use and density
 - Housing finance innovations
 - Housing legislation innovations

⁸ The figures in square brackets [] denote the number of outputs. The letters in curly brackets { } denote the language in which the reports will be produced.

- Slum upgrading: the role of public space as a driver for upgrading – country experiences [1]
- (ii) Institutional and financial frameworks for slum upgrading – Greater Cairo region in Egypt (in collaboration with the Research and Capacity Development Unit) [1] {A, E}
- (iii) Social and economic impact assessment for mega-project in Egypt as part of the policy and technical support provided by UN-Habitat [1] {A, E}
- (iv) Publication on housing reforms, policies and programmes implemented (in collaboration with the Regional Office for the Arab States) [1] {A, E}
- (c) *Technical material:*
 - (i) Guide on affordable housing policies and programmes (2 countries) [2]
 - (ii) Development of various guidelines for partners on the development and implementation of strategies under the Global Housing Strategy to the year 2025 [1]

3. Technical cooperation

- (a) *Advisory services to increase access to adequate housing, improve the standard of living in existing slums in an inclusive manner and prevent the growth of new slums:*
 - (i) Advisory services on housing reforms and policies (Regional Office for Africa: 1; Regional Office for the Arab States: 11; and Regional Office for Asia and the Pacific [number to be determined]; Regional Office for Latin America and the Caribbean: 2: [11]
 - (ii) Advisory services on housing reforms and policies, in Somalia [13]
 - (iii) Advisory services on the strengthened capacity of targeted vulnerable groups to improve their living conditions (Regional Office for Africa, Regional Office for Asia and the Pacific and Regional Office for Latin America and the Caribbean) 18 countries [18]
 - (iv) Advisory services on sustainable building codes (Regional Office for Africa, Regional Office for Asia and the Pacific and Regional Office for Latin America and the Caribbean) [7]
 - (v) Advisory services on slum upgrading and prevention to 41 countries [1]
 - (vi) Advisory services to improve the standard of living of vulnerable groups (Regional Office for the Arab States: 2 and Latin America and the Caribbean: 1) [23]
- (b) *Group training measures (seminars, workshops and symposiums) to strengthen capacity for increased access to adequate housing, improve the standard of living in existing slums in an inclusive manner and prevent the growth of new slums*
 - (i) Training services to improve the standard of living of vulnerable groups: 18 countries (Participatory Slum Upgrading Programme [PSUP], phase 2): Antigua and Barbuda, Burundi, Cape Verde, Congo, Côte d'Ivoire, Fiji, Gambia, Haiti, Jamaica, Madagascar, Malawi, Mali, Mauritius, Nigeria, Papua New Guinea and Solomon Islands, Uganda and Trinidad and Tobago;) [18]
 - (ii) Training on housing reforms and policies in six countries (Regional Office for Africa, Regional Office for Asia and the Pacific and Regional Office for Latin America and the Caribbean – Afghanistan, Burkina Faso, Ethiopia, Haiti, Senegal and the Sudan) [4]

- (iii) Training on strengthened capacity of targeted vulnerable groups to improve their living conditions to 18 countries under PSUP, phase 2 in collaboration with the Regional Office for Africa, Regional Office for Asia and the Pacific, Regional Office for the Arab States and Regional Office for Latin America and the Caribbean, Antigua and Barbuda, Burundi, Cape Verde, Congo, Côte d'Ivoire, Fiji, Gambia, Haiti, Jamaica, Madagascar, Malawi, Mali, Mauritius, Nigeria, Papua New Guinea and Solomon Islands, Trinidad and Tobago and Uganda [18]
- (iv) Training on slum upgrading and prevention to 41 countries under PSUP phase 1, PSUP phase 2 and PSUP phase 3. PSUP phase 1: Benin, Botswana, Lesotho, Rwanda, Saint Lucia, Togo, Tuvalu and Vanuatu; PSUP phase 2: Antigua and Barbuda, Burundi, Cape Verde, Congo, Côte d'Ivoire, Fiji, Gambia, Haiti, Jamaica, Madagascar, Malawi, Mali, Mauritius, Nigeria, Papua New Guinea, Solomon Islands, Trinidad and Tobago and Uganda; PSUP phase 3: Burkina, Cameroon, Democratic Republic of the Congo, Ethiopia, Faso, Ghana, Kenya, Malawi, Mozambique, Niger, Senegal, United Republic of Tanzania and Zambia [41 projects]
- (v) Training on sustainable building codes: 1 (global) [1]
- (vi) Training seminars on housing policies: 5 countries (Afghanistan, Burkina Faso, Ethiopia, Haiti and Senegal) [5]
- (c) *Field projects that contribute towards increased access to adequate housing, improve the standard of living in existing slums in an inclusive manner and prevent the growth of new slums*
 - (i) Project on housing reforms and policies in the Regional Office for Asia: 6 (Fiji, Papua New Guinea and the Solomon Islands, Tuvalu, Vanuatu, Viet Nam); and in the Regional Office for Latin America and the Caribbean: 1 (Jamaica) [7]
 - (ii) Field projects on sustainable building codes and standards: 3 countries, conducted globally by staff of the Housing and Slum Upgrading Branch (Ecuador, Kenya and Philippines); 7 countries conducted by the Regional Office for Asia and the Pacific (Afghanistan, Bangladesh, Fiji, Nepal, Pakistan, Sri Lanka and Viet Nam); 1 country, with 2 field projects, by the Regional Office for Latin America and the Caribbean (Colombia); and 1 country, conducted by the Regional Office for Africa (South Sudan) [13]
 - (ii) Field projects on slum upgrading and prevention to 41 countries – Regional Office for Africa, Regional Office for Asia and the Pacific and Regional Office for Latin America and the Caribbean – PSUP phase 1, phase 2 and phase 3. PSUP phase 1: Benin, Botswana, Lesotho, Rwanda, Togo, Saint Lucia, Tuvalu and Vanuatu; PSUP phase 2: Antigua and Barbuda, Burundi, Cape Verde, Congo, Côte d'Ivoire, Fiji, Gambia, Haiti, Jamaica, Madagascar, Malawi, Mali, Mauritius, Nigeria, Papua New Guinea, Solomon Islands, Trinidad and Tobago and Uganda; PSUP phase 3: Burkina Faso, Cameroon, Democratic Republic of the Congo, Ethiopia, Ghana, Kenya, Malawi, Mozambique, Niger, Senegal, United Republic of Tanzania and Zambia; non-PSUP countries: Bangladesh, Somalia, South Sudan and Sri Lanka
 - (iii) Field projects on the strengthened capacity of targeted vulnerable groups to improve their living conditions: Regional Office for Africa, Regional Office for Asia and the Pacific, and Regional Office for Latin America and the Caribbean: 18 countries: Antigua and Barbuda, Burundi, Cape Verde, Congo, Côte d'Ivoire, Fiji, Gambia, Haiti, Jamaica, Madagascar, Malawi, Mali, Mauritius, Nigeria, Papua New Guinea, Solomon Islands, Trinidad and Tobago and Uganda [2]
 - (iv) Field projects on the strengthened capacity of targeted vulnerable groups to improve their living conditions – Somalia [2]

- (v) Field projects to improve the standard of living of vulnerable groups – Regional Office for Africa: Liberia and South Sudan; Regional Office for the Arab States: Iraq, Libya and the Sudan; Regional Office for Asia and the Pacific: Afghanistan, Bangladesh, Myanmar, Pakistan, Solomon Islands and Sri Lanka; Regional Office for Latin America and the Caribbean: Haiti [12]

Resource requirements (\$61,800,000)

133. The resource requirements by source of funding for this area are set out in table 20.

Table 20

Resource requirements by source of funds

| <i>Category</i> | <i>Resources (thousands of United States dollars)</i> | | |
|----------------------------|---|------------------|------------------|
| | <i>2012–2013</i> | <i>Change</i> | <i>2014–2015</i> |
| Foundation general purpose | | | |
| Post | 2 900.6 | (654.0) | 2 246.6 |
| Non-post | 3 103.5 | (1 712.5) | 1 391.0 |
| Subtotal | 6 004.1 | (2 366.5) | 3 637.6 |
| Regular budget | | | |
| Post | 754.7 | – | 754.7 |
| Non-post | 84.6 | – | 84.6 |
| Subtotal | 839.3 | – | 839.3 |
| Foundation special purpose | | | |
| Post | 1 124.8 | (516.2) | 608.6 |
| Non-post | 4 791.5 | (455.6) | 4 335.9 |
| Subtotal | 5 916.3 | (971.8) | 4 944.5 |
| Technical cooperation | | | |
| Post | 3 525.2 | (64.8) | 3 460.4 |
| Non-post | 26 136.8 | 22 781.4 | 48 918.2 |
| Subtotal | 29 662.0 | 22 716.6 | 52 378.6 |
| Total by category | | | |
| Post | 8 305.3 | (1 235.0) | 7 070.3 |
| Non-post | 34 116.4 | 20 613.3 | 54 729.7 |
| Total | 42 421.7 | 19 378.3 | 61 800.0 |

134. The proposed budget for subprogramme 5, Housing and slum upgrading, is estimated at \$61.8 million as reflected in table 20, of which \$3.6 million is funded from the Foundation general purpose fund, \$800,000 from the regular budget, \$5.0 million from the Foundation special purpose fund and \$52.4 million from the technical cooperation fund. Resources of the regional offices and the Project Office have been distributed across all subprogrammes.

(a) Foundation general purpose

135. The amount of \$3.6 million provides for seven posts and the apportioned staff costs of Habitat programme managers at a cost of \$2.2 million, and \$1.4 million of non-post costs. Non-post costs cover costs associated with consultants and experts, travel, contractual services, payments to implementing partners, general operating expenses, supplies and materials, furniture and equipment, and reimbursement for services provided by the United Nations Office at Nairobi.

(b) Regular budget

136. The amount of \$800,000 provides for the three posts at a cost of \$700,000 and non-post costs of \$100,000. Resource requirements have been maintained at the same level pending a review of the proposals to be submitted to the General Assembly for approval as part of the programme budget for 2014–2015.

(c) Foundation special purpose

137. The amount of \$5.0 million provides for one post and the apportioned staff costs of Habitat programme managers at a cost of \$600,000, and \$4.4 million of project expenditure in line with the target project activities for the biennium.

(d) Technical cooperation

138. The amount of \$52.4 million provides for 13 posts and the apportioned staff costs of Habitat programme managers at a cost of \$3.4 million, and \$49.0 million of project expenditure in line with the target project activities for the biennium.

F. Subprogramme 6: Risk reduction and rehabilitation

139. Subprogramme 6 is aligned with focus area 6 of the strategic plan 2014–2019 and will be implemented jointly by the Risk Reduction and Rehabilitation Branch, the regional offices of UN-Habitat and the Project Office. The Risk Reduction and Rehabilitation Branch comprises the Settlements Recovery Unit, the Shelter Rehabilitation Unit and the Urban Risk Reduction Unit. Its work will involve reducing urban risk and responding to crises through its resilient cities and settlements recovery programmes. The subprogramme will focus on crisis-affected cities, offering disaster prevention and disaster response services. To ensure equitable access to programme benefits, efforts will be made to create conditions that support the participation of women and other vulnerable groups.

1. Objective

140. To increase the resilience of cities to the impact of natural and human-made crises and undertake rehabilitation in ways that advance sustainable urban development.

2. Strategy

141. Responsibility for subprogramme 6 rests with the Risk Reduction and Rehabilitation Branch, which leads urban risk reduction, emergency and early recovery-based activities. The subprogramme will provide substantive support and monitor the projects under its responsibility, including the knowledge management activities of its substantive themes. The strategy for implementing the subprogramme will include the following measures:

(a) Facilitating the coordination and supporting the implementation of all urban risk reduction, settlements recovery and shelter rehabilitation work by UN-Habitat, through the provision of technical support to field operations, regional offices and other thematic branches of the organization;

(b) Generating knowledge, lessons learned, tools, guidelines and policy review in respect of UN-Habitat projects;

(c) Contributing to inter-agency cooperation, partnerships and networking for emergency interventions linked to the provision of long-term technical and capacity-building support to countries facing or recovering from crisis, with a view to improving efficiency and facilitating early recovery in line with UN-Habitat policy;

(d) Providing substantive inputs to the Inter-agency Standing Committee (IASC) member organizations at the global and country level to promote the recovery and reconstruction of sustainable settlements;

(e) Maximizing the use of humanitarian funding (where possible) to catalyse early recovery;

(f) Utilizing humanitarian funding resources to meet immediate needs and catalysing the early recovery of settlements through the implementation of UN-Habitat policy relevant to human settlements and crisis; collaborating with humanitarian agencies and United Nations country teams to link humanitarian action to development planning processes at the local and national levels;

(g) Facilitating the design and implementation of sustainable and equitable disaster risk reduction programmes in support of the Hyogo Framework for Action and other urban risk reduction initiatives;

(h) Promoting the development of appropriate legal and regulatory frameworks related to human settlements that address equitable land rights, security of tenure, long-term economic revitalization and local economic development, the provision of basic infrastructure, strategic land-use planning and the restoration of urban environments;

142. The subprogramme will promote post-crisis programming and projects in the areas of risk reduction, settlement recovery and shelter rehabilitation, to ensure the integration of gender-responsive strategic, incremental, and capacity-development activities designed with long-term goals in mind.

3. External factors

143. It is anticipated that the subprogramme will achieve its expected accomplishments if UN-Habitat is able to respond to natural and complex emergencies, depending on the availability of financial and human resources to carry out the necessary interventions.

Table 21

Subprogramme 6 – Risk reduction and rehabilitation-expected accomplishments and indicators of achievement

| Expected accomplishments | Indicators and performance measures |
|--|--|
| (a) Improved urban risk reduction policies, strategies and programmes adopted for greater resilience of cities and other human settlements | <p>(i) Number of local, regional and national governments and partners that have included urban risk reduction and management in their plans</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 6 local, regional and national authorities and 2 partner organizations</p> <p><i>Estimate:</i> December 2013: 21 local, regional and national authorities and 6 partner organizations</p> <p><i>Target:</i> December 2015: 36 local, regional and national authorities and 10 partner organizations</p> |
| (b) Improved settlements recovery and reconstruction interventions for long-term sustainability in cities and other human settlements | <p>(i) Percentage of partner cities and other human settlements that have implemented sustainable urban reconstruction programmes, including risk reduction.</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not available</p> <p><i>Estimate:</i> December 2013: 60 per cent</p> <p><i>Target:</i> December 2015: 65 per cent</p> <p>(ii) Percentage of UN-Habitat emergency interventions integrating long-term development and risk reduction</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not available</p> <p><i>Estimate:</i> December 2013: 80 per cent</p> <p><i>Target:</i> December 2015: 90 per cent</p> |
| (c) Shelter rehabilitation programmes in crisis response have contributed to sustainable and resilient cities and other human settlements | <p>(i) Percentage of shelter rehabilitation programmes of partners contributing to disaster-resilient permanent housing</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not available</p> <p><i>Estimate:</i> December 2013: 40 per cent</p> <p><i>Target:</i> December 2015: 45 per cent</p> <p>(ii) Percentage of shelter rehabilitation programmes of UN-Habitat contributing to disaster-resilient permanent housing</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not available</p> <p><i>Estimate:</i> December 2013: 80 per cent</p> <p><i>Target:</i> December 2015: 90 per cent</p> |

4. Outputs⁹

144. During the biennium, the Risk Reduction and Rehabilitation Branch, jointly with the regional offices, other branches and the Project Office, will produce the following outputs in line with the matrix of organizational arrangements:

1. Other services provided

- (a) *Assistance to intergovernmental bodies:*
- (i) Follow-up meetings on the Hyogo Framework [1]
 - (ii) IASC meetings and work groups [1]
 - (iii) Meetings of the Executive Committee on Humanitarian Affairs [1]

2. Other substantive activities

- (a) *Non-recurrent publications:*
- (i) Annual review of urban risk reduction policies, strategies and programmes [2] {E}
 - (ii) Biennial report on trends in urban risk reduction and resilience [1] {E}
 - (iii) Annual review of shelter rehabilitation and settlements reconstruction interventions [2]
 - (iv) Biennial report on trends in shelter rehabilitation and settlements reconstruction [1] {E}
 - (v) Annual review of post-crisis shelter projects [2] {E}
- (b) *Special events: World Urban Forum*
- (i) Dialogue or round table at World Urban Forum 7 on the importance of maintaining infrastructure and public space for urban resilience, organized with other branches [1]

3. Technical cooperation

- (a) *Advisory services to increase the resilience of cities to the impact of natural and human-caused crises and to ensure that rehabilitation is effected in ways that advance sustainable urban development*
- (i) Advisory services on urban risk reduction [6]
 - (ii) Urban advisory services in emergency operations [dependent on emergencies]
 - (iii) Advisory services on shelter rehabilitation [6]
- (b) *Group training measures (seminars, workshops and symposiums)*
- (i) Group training on urban risk and resilience [2]
 - (ii) Group training on settlements recovery and reconstruction [2]
 - (iii) Group training on shelter rehabilitation [2]
- (c) *UN-Habitat will undertake the following field projects to strengthen the resilience of cities to the impact of natural and human-caused crises and to carry out rehabilitation through urban risk reduction and settlements recovery and reconstruction*
- (i) Regional and field projects on urban risk reduction 2014–2015 – Africa (3), Arab States (2), Asia and the Pacific (8) and Latin America (2) [15]

⁹ The figures in square brackets [] denote the number of outputs. The letters in curly brackets { } denote the language in which the reports will be produced.

- a. Regional Centre for Building Urban Resilience, Madagascar, Malawi and Mozambique,
 - b. Disaster risk mitigation, Pakistan
 - c. Disaster-resilient city development strategies, Sri Lanka
 - d. Partnership for Safer Country Initiative, Myanmar
 - e. Operation of the Disaster Mitigation Office in Tehran, Islamic Republic of Iran
 - f. City-resilience profiles
 - g. National disaster preparedness programmes
 - h. Human Settlements in Crisis Programme
 - i. Documenting lessons learned
- (ii) Regional and field projects on settlement recovery and reconstruction 2014–2015: Africa (4), Arab States (2), Asia and the Pacific (8) and Latin America (3): [17]
- a. Rebuilding community infrastructure
 - b. Water, Sanitation and Hygiene for All (WASH) interventions for flood-affected communities
 - c. Rehabilitation of community infrastructure and facilities
 - d. Capacity-building for land conflict management
 - e. Settlement planning for internally displaced persons
 - f. Post-conflict assistance to women and vulnerable groups
 - g. Capacity-building for reconstruction
 - h. Settlement upgrading and rehabilitation for returnees
 - i. Settlement flood recovery programmes
 - j. Post-cyclone settlement recovery
 - k. Urban advisory service programmes
- (iii) Regional and field projects on shelter rehabilitation 2014–2015 –in Africa (3), the Arab States (1), Asia and the Pacific (5), and Latin America (3) [12]
- a. Shelter construction for flood-affected people
 - b. Emergency shelter support for vulnerable populations
 - c. Urgent housing rehabilitation for returnees
 - d. Support for conflict-affected people through housing
 - e. Initiating durable shelter solutions
 - f. Earthquake-resistant housing reconstruction
 - g. Post-conflict housing reconstruction
 - h. Reintegration of internally displaced persons through housing
 - i. Community-driven shelter interventions

Resource requirements (\$65,863,200)

145. The resource requirements by source of funding for this area are set out in table 22.

Table 22
Resource requirements by source of funds

| Category | Resources (thousands of United States dollars) | | |
|----------------------------|--|-------------------|-----------------|
| | 2012–2013 | Change | 2014–2015 |
| Foundation general purpose | | | |
| Post | 3 870.2 | (956.7) | 2 913.5 |
| Non-post | 3 103.5 | (1 590.8) | 1 512.7 |
| Subtotal | 6 973.7 | (2 547.5) | 4 426.2 |
| Regular budget | | | |
| Post | 774.9 | – | 774.9 |
| Non-post | 112.9 | – | 112.9 |
| Subtotal | 887.8 | – | 887.8 |
| Foundation special purpose | | | |
| Post | 930.6 | (441.2) | 489.4 |
| Non-post | 4 322.6 | 8 415.5 | 12 738.1 |
| Subtotal | 5 253.2 | 7 974.3 | 13 227.5 |
| Technical cooperation | | | |
| Post | 2 836.3 | 1 167.2 | 4 003.5 |
| Non-post | 57 500.8 | (14 182.6) | 43 318.2 |
| Subtotal | 60 337.1 | (13 015.4) | 47 321.7 |
| Total by category | | | |
| Post | 8 412.0 | (230.7) | 8 181.3 |
| Non-post | 65 039.8 | (7 357.9) | 57 681.9 |
| Total | 73 451.8 | (7 588.6) | 65 863.2 |

146. The proposed budget for subprogramme 6, Risk reduction and rehabilitation, is estimated at \$65.9 million, as reflected in table 22, of which \$4.4 million is funded from the Foundation general purpose fund, \$900,000 from the regular budget, \$13.2 million from the Foundation special purpose fund and \$47.3 million from the technical cooperation fund. Resources of the regional offices and the Project Office have been distributed across all subprogrammes.

(a) Foundation general purpose

147. An amount of \$4.4 million provides posts for 10 posts and the apportioned staff costs of Habitat programme managers at a cost of \$2.9 million, and non-post costs of \$1.5 million. Non-post costs cover costs associated with consultants and experts, travel, contractual services, payments to implementing partners, general operating expenses, supplies and materials, furniture and equipment, and reimbursement for services provided by the United Nations Office at Nairobi.

(b) Regular budget

148. The amount of \$900,000 provides for four posts at a cost of \$800,000 and non-post costs of \$100,000. Resource requirements have been maintained at the same level pending a review of the proposals to be submitted to the General Assembly for approval as part of the programme budget for 2014–2015.

(c) Foundation special purpose

149. The amount of \$13.2 million provides for one post and the apportioned staff cost of Habitat programme managers at a cost of \$500,000, and \$12.7 million of project expenditure in line with the target project activities for the biennium.

(d) Technical cooperation

150. The amount of \$47.3 million provides for 11 posts and the apportioned staff costs of Habitat programme managers at a cost of \$4.0 million, and \$43.3 million of project expenditure in line with the target project activities for the biennium.

G. Subprogramme 7 – Research and capacity development

151. Subprogramme 7 is aligned with focus area 7 of the strategic plan 2014–2019 and will be implemented jointly by the Research and Capacity Development Branch, all the regional offices of UN-Habitat and the Project Office. The Research and Capacity Development Branch comprises the Research Unit, the Capacity Development Unit and the Global Urban Observatories Unit. The subprogramme will monitor progress made towards the slum target of the Millennium Development Goals and the Habitat Agenda, and will report the results through its flagship reports and Urban Indicators Programme, which, where appropriate, will include gender perspectives. Efforts will also be directed towards supporting the production of local urban knowledge and the establishment of urban observatories that collect and analyse data, disaggregated by sex where applicable. Information and knowledge on best practice will also be collected and disseminated. The programme will also provide expertise in developing institutional and individual capacity on evidence-based, gender-responsive policies and programmes that benefit the urban stakeholders.

1. Objective

152. To improve knowledge on sustainable urbanization issues and capacity for the formulation and implementation of evidence-based policies and programmes at the local, national and global levels.

2. Strategy

153. The Research and Capacity Development Branch leads the implementation of subprogramme 7. The strategy of the subprogramme is to collect, synthesize and translate data into knowledge that subsequently supports the formulation of better informed policies through capacity development and on-the-job technical advisory services. More specifically, the subprogramme will undertake the following:

- (a) Collaborate with a range of strategic partners to produce results that are cost-effective, gender responsive and that maximize the impact of interventions;
- (b) Increase awareness by producing a critical mass of information and selected publications, including the flagship reports, which are disseminated in various languages to advance the urban agenda and better inform the decision-making capacity of institutions and policymakers working in the broad field of urban development;
- (c) Carry out and disseminate, on request, research on such key and emerging such topics as the financial housing crisis, exclusion in European cities, social change in cities, and urban futures. Knowledge and innovations emerging from global research will be contextualized to local and regional realities and channelled through tailored capacity-development tools and programmes;
- (d) Work with such key partners as urban observatories, national statistics offices, academic institutions and local government training institutions, on monitoring local and national conditions, and integrating UrbanInfo software, geographical information system techniques and specific knowledge on urban policy issues;
- (e) Develop institutional and human resources capacity to support organizational restructuring, business process analysis and re-engineering, vertical coordination, learning, and education and training for local, city and national government institutions and partners;
- (f) Strengthen the connection between information, knowledge and policy-making at the city level and other levels of government to enhance coordination efficiency and the effective delivery of equitable policies and programmes.

3. External factors

154. It is anticipated that the subprogramme will achieve its objectives and expected accomplishments on the following assumptions: first, that Governments and partners will recognize the urgent need to respond to the challenges of urbanization and understand the need for better knowledge and information to support decision-making; second, that local and central authorities support the creation and maintenance of urban monitoring systems, and capacity-development institutions and actions; and third, that member States request technical and advisory and capacity-development services and act upon the recommendations thereof.

Table 23
Subprogramme 7 – Research and capacity development-expected accomplishments and indicators of achievements

| Expected accomplishments | Indicator and performance measures |
|--|--|
| (a) Improved monitoring of urban conditions and trends | <p>(i) Number of urban observatories using UN-Habitat monitoring tools, methods and data</p> <p>Performance measures <i>Baseline:</i> December 2011: 254 <i>Estimate:</i> December 2013: 274 <i>Target:</i> December 2015: 300</p> <p>(ii) Number of partner national statistical offices producing urban data and indicators</p> <p>Performance measures <i>Baseline:</i> December 2011: 10 <i>Estimate:</i> December 2013: 15 <i>Target:</i> December 2015: 35</p> |
| (b) Improved knowledge of sustainable urbanization issues at the local, national and global levels | <p>(i) Number of local and national governments that have used UN-Habitat flagship publications and best practice database for policy formulation</p> <p>Performance measures <i>Baseline:</i> December 2011: 30 national Governments and 300 cities <i>Estimate:</i> December 2013: 40 national Governments and 400 cities <i>Target:</i> December 2015: 50 national Governments and 500 cities</p> <p>(ii) Number of partner countries producing national cities reports to enhance local and national policy planning</p> <p>Performance measures <i>Baseline:</i> December 2011: 5 <i>Estimate:</i> December 2013: 10 <i>Target:</i> December 2015: 20</p> |
| (c) Improved capacity of national and local authorities and partners to formulate and implement informed policies and programmes | <p>(i) Number of partner local and national authorities that have improved capacity to formulate informed policies and programmes</p> <p>Performance measures <i>Baseline:</i> December 2011: not available <i>Estimate:</i> December 2013: 10 <i>Target:</i> December 2015: 15</p> <p>(ii) Increase in the number of policies and programmes utilizing evidence-based information</p> <p>Performance measures <i>Baseline:</i> December 2011: not available <i>Estimate:</i> December 2013: 10 <i>Target:</i> December 2015: 15</p> |

4. Outputs¹⁰

155. During the biennium, the Research and Capacity Development Branch, jointly with all the regional offices, other branches and the Project Office, will produce the following outputs in line with the matrix of organizational arrangements:

1. Other services provided

- (a) *Ad hoc expert groups*
 - (i) Meetings of the jury and technical advisory committee of the Dubai International Award for Best Practice
 - (ii) Jury of the Rafik Hariri UN-Habitat Memorial Award [1]
 - (iii) Jury of the Shaikh Khalifa Bin Salman AI Khalifa UN-Habitat Award [1]

2. Other substantive activities

- (b) *Recurrent publications*
 - UN-Habitat flagship report
- (c) *Non-recurrent publications:*
 - (i) Abridged edition of the UN-Habitat flagship report [1]
 - (ii) State of Asian Cities report 2015 [1] {E, R}
 - (iii) State of Eurasian Cities report [1] {E, R}
 - (iv) State of European Cities report 2014 [1] {E, R}
 - (v) State of ECO-Region Cities report 2015 [1] {E, R}
 - (vi) Research paper on urban futures [1]
 - (vii) National state of cities report [4] {E, C}
 - (viii) Urban papers in preparation for the Habitat III conference [5]
- (d) *Technical materials*
 - (i) Manual for mainstreaming urban future interventions
 - (ii) Global urban indicators database 2014 [1]
 - (iii) Human Settlements Atlas 2015 [1]
 - (iv) Fourth version of UrbanInfo V [1] (1)
 - (v) World atlas of slum evolution [1]
 - (vi) City prosperity index covering 200 cities [1]
 - (vii) Geo-survey on public space [1]
 - (viii) Geo-survey on urban connectivity [1]
 - (ix) Regional urban indicators for the Habitat III conference [5]
 - (x) Guide for local urban observatories [1]
 - (xi) Best practice database, new edition [1]
 - (xii) Database on UN-Habitat partner cities, with research on their governance structures
 - (xiii) Training package on housing the urban poor [1]
 - (xiv) Capacity-building tools for local government and training institutions on sustainable urbanization [3]
 - (xv) Online training management tool [1]

¹⁰ The figures in square brackets [] denote the number of outputs. The letters in curly brackets { } denote the language in which the reports will be produced.

- (xvi) Capacity-building tools in such areas as planning, climate change, youth and slum upgrading [1]
- (xvii) UN-Habitat urban futures manual at the seventh session of the World Urban Forum [4]

(e) *Special events*

- (i) Training events on sustainable urban development, the city prosperity index, urban income inequalities, city-wide slum upgrading, and housing the poor in Africa (with Habitat Agenda partners at World Urban Forum 7) [1]
- (ii) Special event on public space and connectivity

3. Technical cooperation exercise with research and other branches: supporting other branches

(a) *Advisory services to improve knowledge on sustainable urbanization issues and capacity for formulation and implementation*

- (i) Advisory services to local and national governments on visions for the future [4]
- (ii) Advisory services on capacity-building [4]
- (iii) Centre of urban studies and training
- (iv) Contribution of technical and capacity-development assistance in the field of sustainable urban development to the United Nations Decade of Education for Sustainable Development, the learning cities index, and the city prosperity index [1]

(b) *Group training measures (seminars, workshops and symposiums) to strengthen knowledge on sustainable urbanization issues and capacity for formulation and implementation*

- (i) Regional workshops in Africa and Asia [2]
- (ii) Capacity self-assessment for local government training institutions [1]
- (iii) Training workshops on sustainable urban development for local government and Habitat Agenda partners in Africa, Asia, and Latin America [2]
- (iv) Workshops on education and university curriculum development for 40 persons [2]
- (v) Field staff training and urban dialogue series [2]

(c) *Field projects to improve knowledge on sustainable urbanization issues and capacity for formulation and implementation*

- (i) Urban futures demonstration projects [2]
- (ii) Capacity-building programmes on climate change, urban economy, leadership and decentralization (in collaboration with relevant branches) [2]
- (iii) Strengthening urban education, research and university linkage (through the Habitat partner university initiative)
- (iv) Support for the international urban training programme of Ganwon province, Republic of Korea

Resource requirements (\$29,659,900)

156. The resource requirements by source of funding for this area are set out in table 24.

Table 24
Resource requirements by source of funds

| Category | Resources (thousands of United States dollars) | | |
|----------------------------|--|------------------|-----------------|
| | 2012–2013 | Change | 2014–2015 |
| Foundation general purpose | | | |
| Post | 3 396.1 | (577.1) | 2 819.0 |
| Non-post | 3 103.5 | (1 469.1) | 1 634.4 |
| Subtotal | 6 499.6 | (2 046.2) | 4 453.4 |
| Regular budget | | | |
| Post | 3 508.4 | – | 3 508.4 |
| Non-post | 366.8 | – | 366.8 |
| Subtotal | 3 875.2 | – | 3 875.2 |
| Foundation special purpose | | | |
| Post | 69.3 | 133.7 | 203.0 |
| Non-post | 4 550.8 | 2 682.0 | 7 232.8 |
| Subtotal | 4 620.1 | 2 815.7 | 7 435.8 |
| Technical cooperation | | | |
| Post | 213.1 | (42.6) | 170.5 |
| Non-post | 5 227.3 | 8 497.7 | 13 725.0 |
| Subtotal | 5 440.4 | 8 455.1 | 13 895.5 |
| Total by category | | | |
| Post | 7 186.9 | (486.0) | 6 700.9 |
| Non-post | 13 248.4 | 9 710.6 | 22 959.0 |
| Total | 20 435.3 | 9 224.6 | 29 659.9 |

157. The proposed budget for subprogramme 7, Research and capacity development, is estimated at \$29.7 million, as reflected in table 24, of which \$4.5 million is funded from the Foundation general purpose fund, \$3.9 million from the regular budget, \$7.4 million from the Foundation special purpose fund and \$13.9 million from the technical cooperation fund. Resources of the regional offices and the Project Office have been distributed across all subprogrammes.

(a) Foundation general purpose

158. An amount of \$4.5 million provides 13 posts and the apportioned staff cost of the Habitat programme managers at a cost of \$2.9 million, and non-post costs of \$1.6 million. Non-post costs cover costs associated with consultants and experts, travel, contractual services, payments to implementing partners, general operating expenses, supplies and materials, furniture and equipment, and reimbursement for services provided by the United Nations Office at Nairobi.

(b) Regular budget

159. The amount of \$3.9 million provides for 12 posts at a cost of \$3.5 million and non-post costs of \$400,000. Resource requirements have been maintained at the same level pending a review of the proposals to be submitted to the General Assembly for approval as part of the programme budget for 2014–2015.

(c) Foundation special purpose

160. The amount of \$7.4 million provides for the apportioned staff costs of the Habitat programme managers at a cost of \$200,000 and \$7.2 million of project expenditure in line with the target project activities for the biennium.

(d) Technical cooperation

161. The amount of \$13.9 million provides for one post and the apportioned staff costs of Habitat programme managers at a cost of \$200,000, and \$13.7 million of project expenditures in line with the target project activities for the biennium.

H. Project Office

162. The Project Office will be responsible for the overall coordination of the UN-Habitat project portfolio by supporting implementation of the project management cycle from project strategy, resources, formulation, approval and implementation to monitoring.

1. Objective

163. To strengthen project development and management processes and to ensure efficient and effective implementation of the project management cycle, thereby increasing the impact of UN-Habitat interventions at the local, national and regional levels.

2. Strategy

164. The Project Office will be responsible for overall coordination of the UN-Habitat project portfolio by supporting implementation of the project management cycle, from project strategy, resources, formulation, approval and implementation to monitoring. The strategy of the Project Office is as follows:

(a) To coordinate the full project portfolio of UN-Habitat, covering both normative and operational activities being implemented by the regional offices and the thematic organizational units, in an effort to improve the quality and value of the portfolio;

(b) To support the UN-Habitat thematic organizational units and regional offices through the development of procedures, policies and guidelines, in order to ensure the operational efficiency of programme formulation and implementation;

(c) To act as the secretariat to the Project Advisory Group, ensuring quality at entry, results focus, coherence and alignment with planned results, both in the biennial work programme and budget, and also in the strategic plan of the organization. The Project Advisory Group also supports and incorporates cross-cutting issues in its project formulation requirements, including environmental issues, gender considerations and human rights strategies;

(d) To establish and implement a comprehensive monitoring system for all existing projects approved by the Project Advisory Group, support the development of project monitoring plans and the sharing of best practice conduct performance progress monitoring on existing projects to ensure progress and achievement of planned gender-responsive and equitable results, and assist in preparing regular project monitoring updates and project review reports. Project monitoring functions will be carried out in close collaboration with the quality assurance and evaluation units;

(e) To monitor and analyse project portfolio data, collate lessons on good practice and provide regular status updates for progress reports to support and inform new projects, in collaboration with relevant organizational units;

(f) To support the organizational units in their efforts to incorporate and mainstream cross-cutting issues, comprising gender, youth, human rights and the environment, into projects, policies, knowledge management tools and operational activities, and to assist project teams in identifying lessons learned and best practice;

(g) To coordinate and facilitate the institutionalization of gender mainstreaming and gender equality within UN-Habitat, particularly in its projects and programmes, and to support the implementation of initiatives on the empowerment of women. In addition, an assessment will be undertaken to review and propose recommendations on the ways in which the organizational structure and institutional arrangements would best support the integration of gender mainstreaming and the empowerment of women into project design, implementation, monitoring and evaluation;

(h) To provide clear guidance for joint programming, the “Delivering as one” initiative, and in support of the participation of country offices and Habitat programme managers in the formulation of the United Nations Development Assistance Framework;

(i) To provide strategic advice to executive management in discussions with Governments, organizations and donors regarding the project portfolio and financing opportunities;

(j) To carry out research and provide customized information and analysed data on funding opportunities for an increased portfolio;

(k) To support the thematic organizational units and regional offices in the development of gender-responsive tools to market UN-Habitat projects and to provide analysis and input on existing marketing tools;

(l) To oversee and coordinate the preparation of regular consultations, strategic conferences and partnership events with current and potential development partners, in close collaboration with thematic branches, country and regional offices, thereby enhancing the visibility of the organization and expanding the project portfolio and financial resources;

(m) To provide short-term advisory services and technical expertise on unanticipated and emerging needs on policy, strategy and programme formulation for developing countries and countries with economies in transition, and to facilitate capacity-building, knowledge transfer and inter-country learning.

3. External factors

165. It is anticipated that the expected accomplishments will be achieved on the following assumptions: first, that member States remain committed to resolutions adopted at sessions of the Governing Council; and second, that donors increase their support for UN-Habitat programmes and projects.

Expected accomplishments and indicators of achievement

| Expected accomplishments | Indicators and performance measures |
|--|---|
| (a) Improved value and quality of UN-Habitat project portfolio | <p>(i) Level of collaboration and coordination between organizational units</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 30 per cent of projects and programmes developed jointly</p> <p><i>Estimate:</i> December 2013: 60 per cent of projects and programmes developed jointly</p> <p><i>Target:</i> December 2015: 100 per cent of projects and programmes developed jointly</p> <p>(ii) Increased financial value of human settlements programmes and projects under implementation</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: \$195 million</p> <p><i>Estimate:</i> December 2013: \$140 million</p> <p><i>Target:</i> December 2015: \$298 million</p> <p>(ii) Percentage of projects that deliver planned outputs and outcomes within the planned project period</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 60 per cent</p> <p><i>Estimate:</i> December 2013: 80 per cent</p> <p><i>Target:</i> December 2015: 100 per cent</p> |

| Expected accomplishments | Indicators and performance measures |
|---|--|
| | <p>(iii) Percentage of project documents that meet prescribed project at-entry quality standards</p> <p>Performance measures <i>Baseline:</i> December 2011: 60 per cent per cent <i>Estimate:</i> December 2013: 70 per cent <i>Target:</i> December 2015: 100 per cent</p> <p>(iv) Percentage of projects and programmes that are contributing significantly to the focus area strategic results</p> <p>Performance measures <i>Baseline:</i> 2010–2011: 98 per cent <i>Estimate:</i> 2012–2013: 98 per cent <i>Target:</i> 2014–2015: 99 per cent</p> |
| <p>(b) Improved gender sensitivity and the empowerment of women in UN-Habitat projects and programmes</p> | <p>(i) Increased percentage of key strategic events that reflect gender sensitivity in line with the gender checklist</p> <p>Performance measures <i>Baseline:</i> December 2011: 20 per cent <i>Estimate:</i> December 2013: 60 per cent <i>Target:</i> December 2015: 75 per cent</p> <p>(ii) Increased percentage of human settlements programmes and projects reflecting gender and other cross-cutting issues</p> <p>Performance measures <i>Baseline:</i> December 2011: 40 per cent <i>Estimate:</i> December 2013: 60 per cent <i>Target:</i> December 2015: 80 per cent</p> <p>(iii) Increased number of partnerships promoting gender equality in sustainable urbanization issues as per gender checklist with assistance from UN-Habitat</p> <p>Performance measures <i>Baseline:</i> December 2011: 20 <i>Estimate:</i> December 2013: 30 <i>Target:</i> December 2015: 40</p> |
| <p>(c) Increased corporate resources</p> | <p>(i) Increased number of cooperation agreements providing funding to UN-Habitat</p> <p>Performance measures <i>Baseline:</i> December 2011: 59 <i>Estimate:</i> December 2013: 70 <i>Target:</i> December 2015: 90</p> <p>(ii) Increased amount of earmarked and non-earmarked funding raised</p> <p>Performance measures <i>Earmarked funding</i> <i>Baseline:</i> December 2011: \$364 million <i>Estimate:</i> December 2013: \$280 million <i>Target:</i> December 2015: \$323 million</p> |

| Expected accomplishments | Indicators and performance measures |
|---|---|
| (d) Improved reflection of urban development issues in the United Nations Development Assistance Framework at country level | (i) Increased number of United Nations Development Assistance Frameworks incorporating urban development Performance measures <i>Baseline:</i> December 2011: 0 <i>Estimate:</i> December 2013: 7 <i>Target:</i> December 2015: 14 |

4. Outputs¹¹

166. During the biennium, the Project Office will deliver the following outputs:

1. Other services provided

(a) *Assistance to intergovernmental bodies*

Joint annual consultations with long-term agreement partners [2]

(b) *Ad hoc expert group meetings*

(i) Ad hoc expert group meetings on gender [2]

(ii) Meetings of the Advisory Group on Gender Issues [4]

2. Other substantive activities

(a) *Recurrent publications*

Operational activities report [1]

(b) *Technical materials*

(i) Guidelines, policies and procedures for project coordination, development and implementation [3]

(ii) New and updated tools to support gender mainstreaming [4]

(iii) Project implementation monitoring reports [4]

(iv) Biannual monitoring report [4]

(v) Regional brochures on reflecting achievements and partnerships in the regions [2]

(vi) Portfolio brochures and guidelines on mainstreaming urban issues in United Nations Development Assistance Frameworks and in participating in United Nations country teams, under the “Delivering as one” initiative [1]

(vii) Formats for Habitat country programme documents [1]

(viii) Updated and functional donor information system to support knowledge management and donor intelligence for the organization [1]

(c) *Special events*

(i) Strategic briefings undertaken with key donors and other potential development partners within the principal existing forums of UN-Habitat [6]

(ii) Resource mobilization policy and strategy [1]

¹¹ The figures in square brackets [] denote the number of outputs. The letters in curly brackets { } denote the language in which the reports will be produced.

3. Technical cooperation

- (a) *Advisory services*
 - (i) Advice to selected “Delivering as one” pilot countries (Cape Verde, Ethiopia, Philippines and United Republic of Tanzania) to support the alignment of UN-Habitat strategic priorities with the United Nations Development Assistance Framework and participation in United Nations country teams [4]
- (b) *Group training measures (seminars, workshops and symposiums)*
 - (i) Group training courses and workshops for gender focal points for the periodic review of progress in the gender mainstreaming strategy [2]
 - (ii) Group training for staff capacity development in gender mainstreaming [4]
 - (iii) Group training in project development and implementation [4]
 - (iv) Group training measures in project formulation and the mainstreaming of results-based management principles at the stage of project formulation [4]
 - (v) Seminars for substantive officers at headquarters and for field personnel and host programme managers on the United Nations Development Assistance Framework and United Nations country team processes, and two workshops for Habitat programme managers to take stock of progress and evaluate the potential of UN-Habitat involvement in the United Nations Development Assistance Framework and “Delivering as one” processes and to draw lessons for the future [2]
 - (vi) National urban forums and better formulated Habitat country programme documents [25]
 - (vii) Partners workshop in the regions [2]

V. Programme support

167. Programme support is delivered by the Office of Management, which comprises two branches, the Finance Quality Assurance and Information Support Branch and the Resources Management Branch. The Office coordinates financial management and control, resource management and administration, business processes, and quality assurance functions comprising results-based management and programme planning, monitoring and reporting. UN-Habitat works closely with the United Nations Office at Nairobi on issues of financial management and control, human resource management and administration, business guidelines and processes, and project and administrative services for regional and field offices, among other areas.

A. Objective

168. The overall objective of the programme support component is to strengthen organizational accountability, financial resources and systems management for effective delivery of the work programme and budget.

B. Strategy

169. In carrying out its functions, the Office of Management will:

- (a) Ensure the efficient, effective and transparent allocation of the human and financial resources of the organization and other assets to meet its operational priorities;
- (b) Promote transparent financial management, effective reporting, strong financial accountability and governance; support the adoption of the International Public Sector Accounting Standards (IPSAS) and the use of the project accrual and accountability system (PAAS) for finance and project performance management; ensure compliance with financial and administrative rules and regulations; monitor expenditure and ensure that it conforms to its intended purpose; and ensure implementation of the enterprise resource planning system in line with United Nations system-wide reforms;

(c) Lead and coordinate the programme planning process, introduction of results-based management, and monitoring and reporting on programme performance; provide guidance, tools and capacity-building on programme planning, monitoring and reporting; ensure that the biennial strategic framework and work programme for 2016–2017 are derived from the six-year strategic plan 2014–2019; monitor the programme of work through the Integrated Monitoring and Documentation Information System and PAAS; prepare performance reports to senior management and the Committee of Permanent Representatives; use performance data to improve organizational learning, planning, management decision-making, programme performance and accountability to stakeholders; support internal and external auditing and ensure the timely implementation of recommendations to improve the overall performance and compliance of the organization;

(d) Develop, update and streamline operational policies and procedures in critical business areas; review compliance of the activities of the organization with established policies, plans and procedures; continuously assess the effectiveness of the organization’s controls, including delegations of authority and the accountability framework; improve workflows and automate processes; improve control systems; enhance staff capacity through effective training in results-based management, leadership and management skills, including ethics training, to strengthen staff accountability and performance; undertake performance management to improve the quality of services and, together with the United Nations Office at Nairobi, support the change management process;

(e) Coordinate and manage project administrative functions across the organizations to ensure consistent, effective support for the financial and programmatic requirements of all projects;

(f) Monitor the quality and delivery of services by third parties, including the United Nations Office at Nairobi, to ensure that they meet agreed levels of service and are delivered in a cost-effective manner.

Table 25

Programme support – expected accomplishments and indicators of achievement

| Expected accomplishments | Indicators and performance measures |
|--|--|
| (a) Improved financial accountability and efficiency | <p>(i) Increased percentage of projects compliant with financial policies and procedures in PAAS</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not applicable</p> <p><i>Estimate:</i> December 2013: 90 per cent</p> <p><i>Target:</i> December 2015: 98 per cent</p> <p>(ii) Increased percentage of mandatory reports streamlined and automated</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not applicable</p> <p><i>Estimate:</i> December 2013: 70 per cent</p> <p><i>Target:</i> December 2015: 98 per cent</p> <p>(iii) UN-Habitat financial statements comply with IPSAS</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not applicable</p> <p><i>Estimate:</i> December 2013: not applicable</p> <p><i>Target:</i> December 2015: 100 per cent</p> |

| Expected accomplishments | Indicators and performance measures |
|--|---|
| (b) Staff skills aligned with organizational priorities | <p>(i) Percentage of staff whose skills are aligned to organizational priority areas</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: to be established</p> <p><i>Estimate:</i> December 2013: 85 per cent</p> <p><i>Target:</i> December 2015: 95 per cent</p> |
| (c) Results-based management principles applied | <p>(i) Programmes derived from the six-year strategic plan</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: not applicable</p> <p><i>Estimate:</i> December 2013: 80 per cent</p> <p><i>Target:</i> December 2015: 90 per cent</p> <p>(ii) Percentage of monitoring reports assessed as being results-focused and of good quality by key stakeholders</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 50 per cent</p> <p><i>Estimate:</i> December 2013: 70 per cent</p> <p><i>Target:</i> December 2015: 90 per cent</p> <p>(iii) Percentage of staff applying results-based management skills in their work</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: no baseline</p> <p><i>Estimate:</i> December 2013: 40 per cent</p> <p><i>Target:</i> December 2015: 75 per cent</p> <p>(iv) Percentage of accepted audit and inspection recommendations on UN-Habitat implemented within the required time frame</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: 90 per cent</p> <p><i>Estimate:</i> December 2013: 92 per cent</p> <p><i>Target:</i> December 2015: 95 per cent</p> |
| (d) Increased efficiency in the completion of key business processes | <p>(i) Number of days taken for project approval</p> <p>Performance measures</p> <p><i>Baseline:</i> December 2011: no baseline</p> <p><i>Estimate:</i> December 2013: 21</p> <p><i>Target:</i> December 2015: 14</p> <p>(ii) Percentage of outposted offices with easy access to UN-Habitat corporate administrative and internal communication systems</p> <p><i>Baseline:</i> December 2011: 75 per cent</p> <p><i>Estimate:</i> December 2013: 80 per cent</p> <p><i>Target:</i> December 2015: 95 per cent</p> |

C. Outputs¹²

170. During the biennium, the Office of Management will produce the following outputs and services:

1. Administrative support services

- (a) *Overall management: financial management and control systems*
Full implementation of IPSAS [1]
- (b) *Human resources management*
 - (i) Enhanced skills database incorporating the skills of core staff, project staff and consultants with tools to match skills to projects and to identify skill gaps [1]
 - (ii) Periodic reports on human resources [4]
 - (iii) Integrated capacity-building programme in results-based planning, programme management, monitoring and evaluation (training seminars, mentoring and systematic on-the-job learning) [2]
- (c) *Programme planning and budgeting*
 - (i) Biennial strategic framework 2016–2017 [1] {A, C, E, F, R, S}
 - (ii) Biennial work programme and budget 2016–2017 [1] {A, C, E, F, R, S}
 - (iii) UN-Habitat annual work plans [2]
 - (iv) Regular comprehensive financial reports for the Committee of Permanent Representatives, United Nations Headquarters, donors and other partners for the biennium 2014–2015 [30]
 - (v) Allotment authorization for extrabudgetary resources [8]
 - (vi) Budget performance reports and financial forecasts [8]
 - (vii) Budgetary control and support of core and extrabudgetary resources [1]
 - (viii) Supporting documentation for the intergovernmental processes (Committee on Programme Coordination and ACABQ) [2]
 - (ix) Updated results-based management tools [1]
- (d) *Financial accounting and reporting*
 - (i) Reporting module to generate mandatory reports to key stakeholders, including the Committee of Permanent Representatives, United Nations Headquarters, donors and other partners [1]
- (e) *Central support services*
 - (i) Technical support to managers to ensure the effective and timely implementation of recommendations [1]
 - (ii) Monthly assessment and tracking of progress made towards the implementation of recommendations [1]
 - (iii) Quarterly reports on the implementation of audit recommendations [8]
 - (iv) ICT infrastructure and technical support to facilitate the implementation of UN-Habitat operational requirements [1]
 - (v) Automation of streamlined business process to support organizational accountability, transparency and efficiency [1]
 - (vi) System of policies, procedures and automation tools to promote faster project approval and implementation [1]

¹² The figures in square brackets [] denote the number of outputs. The letters in curly brackets { } denote the language in which the reports will be produced.

- (vii) Knowledge management tools to inform decision-making and support organizational learning and knowledge-sharing among partners [1]
- (viii) Streamlined administrative and financial procedures and business processes [1]
- (ix) Updated ICT and knowledge-management strategies [2]

2. Internal oversight services

(a) Management reviews

- (i) Annual progress report on implementation of the six-year strategic plan and work programme [2]
- (ii) Programme performance report for the biennium 2014–2015 [1]
- (iii) Senior management programme review report [4]
- (iv) Results-based management internal capacity assessment (CapScan) report [1]

Resource requirements (\$10,252,200)

171. The resource requirements by source of funding for this area are set out in table 26.

Table 26

Resource requirements by source of funds

| Category | Resources (thousands of United States dollars) | | |
|----------------------------|--|------------------|-----------------|
| | 2012–2013 | Change | 2014–2015 |
| Foundation general purpose | | | |
| Post | 3 715.2 | (399.4) | 3 315.8 |
| Non-post | 2 440.3 | (1 020.1) | 1 420.2 |
| Subtotal | 6 155.5 | (1 419.5) | 4 736.0 |
| Regular budget | | | |
| Post | 1 831.1 | - | 1 831.1 |
| Non-post | 94.6 | - | 94.6 |
| Subtotal | 1 925.7 | - | 1 925.7 |
| Foundation special purpose | | | |
| Post | 3 031.2 | (1 178.5) | 1 852.7 |
| Non-post | 1 073.3 | 85.2 | 1 158.5 |
| Subtotal | 4 104.5 | (1 093.3) | 3 011.2 |
| Technical cooperation | | | |
| Post | 520.0 | (119.3) | 400.7 |
| Non-post | 166.0 | 12.6 | 178.6 |
| Subtotal | 686.0 | (106.7) | 579.3 |
| Total by category | | | |
| Post | 9 097.5 | (1 697.2) | 7 400.3 |
| Non-post | 3 774.2 | (922.3) | 2 851.9 |
| Total | 12 871.7 | (2 619.5) | 10 252.2 |

172. The proposed budget for programme support is estimated at \$10.2 million, as reflected in table 26, of which \$4.7 million will be funded from the Foundation general purpose fund, \$1.9 from the regular budget; \$3.0 million from the Foundation special purpose fund, and \$600,000 from the technical cooperation fund.

(a) Foundation general purpose

173. The amount of \$4.7 million provides for 16 posts at a cost of \$3.3 million and non-post costs of \$1.4 million. Non-post costs cover costs associated with consultants and experts, travel, contractual services, payments to implementing partners, general operating expenses, supplies and materials, furniture and equipment, and reimbursement for services provided by the United Nations Office at Nairobi.

(b) Regular budget

174. The amount of \$1.9 million provides for seven posts at a cost of \$1.8 million and non-post costs of \$100,000. The resource requirements have been maintained at the same level pending a review of the proposals to be submitted to the General Assembly for approval as part of the United Nations programme budget for 2014–2015.

(c) Foundation special purpose

175. The amount of \$3.0 million provides for 14 posts at a cost of \$1.9 million and non-post costs of \$1.1 million.

(d) Technical cooperation

176. The amount of \$600,000 provides for two posts at a cost of \$400,000 and \$200,000 in non-post costs.

Annex I

Legislative mandates

General Assembly resolutions

- 3327 (XXIX) Establishment of the United Nations Habitat and Human Settlements Foundation
- 34/114 Global report on human settlements and periodic reports on international cooperation and assistance on human settlements
- S-25/2 Declaration on Cities and Other Human Settlements in the New Millennium
- 53/242 Report of the Secretary-General on environment and human settlements
- 55/2 United Nations Millennium Declaration
- 56/206 Strengthening the mandate and status of the Commission on Human Settlements and the status, role and functions of the United Nations Centre for Human Settlements (Habitat)
- 58/217 International Decade of Action, "Water for Life", 2005–2015
- 59/239 Implementation of the outcome of the United Nations Conference on Human Settlements (Habitat II) and strengthening of the United Nations Human Settlements Programme (UN-Habitat)
- 60/1 2005 World Summit Outcome
- 61/200 Natural disasters and vulnerability
- 63/281 Climate change and its possible security implications
- 64/135 Implementation of the outcome of the World Summit for Social Development and of the twenty-fourth special session of the General Assembly
- 64/213 Fourth United Nations Conference on the Least Developed Countries
- 65/1 Keeping the promise: united to achieve the Millennium Development Goals
- 65/10 Sustained, inclusive and equitable economic growth for poverty eradication and achievement of the Millennium Development Goals
- 65/133 Strengthening of the coordination of emergency humanitarian assistance of the United Nations
- 65/135 Humanitarian assistance, emergency relief, rehabilitation, recovery and reconstruction in response to the humanitarian emergency in Haiti, including the devastating effects of the earthquake
- 65/136 Emergency and reconstruction assistance to Haiti, Saint Lucia, Saint Vincent and the Grenadines and other countries affected by Hurricane Tomas
- 65/153 Follow-up of the International Year of Sanitation, 2008
- 65/158 International cooperation to reduce the impact of the El Niño phenomenon
- 65/165 Implementation of the outcome of the United Nations Conference on Human Settlements (Habitat II) and strengthening of the United Nations Human Settlements Programme (UN-Habitat)
- 66/137 United Nations Declaration on Human Rights Education and Training
- 66/199 International Strategy for Disaster Reduction
- 66/227 International cooperation on humanitarian assistance in the field of natural disasters, from relief to development

Economic and Social Council resolutions

- 2003/62 Coordinated implementation of the Habitat Agenda
- 2012/24 Mainstreaming a gender perspective into all policies and programmes in the United Nations system

Governing Council resolutions

- 19/4 Cooperation between the United Nations Human Settlements Programme and the United Nations Environment Programme
- 19/5 Implementing and monitoring the goal of the United Nations Millennium Declaration on improving the lives of slum-dwellers
- 19/11 Strengthening the United Nations Habitat and Human Settlements Foundation
- 19/18 Human settlements development in the occupied Palestinian territories
- 20/1 Youth and human settlements
- 20/6 Best practice, good policies and enabling legislation in support of sustainable urbanization and the attainment of internationally agreed development goals
- 20/7 Gender equality in human settlements development
- 20/15 Habitat Programme Managers and regional offices
- 20/16 Enhancing the involvement of civil society in local governance
- 20/17 Post-conflict, natural and human-made disaster assessment and reconstruction
- 20/18 Decentralization and strengthening of local authorities
- 20/20 Thirteenth session of the Commission on Sustainable Development
- 21/2 Medium-term strategic and institutional plan for 2008–2013
- 21/3 Guidelines on decentralization and strengthening of local authorities
- 21/7 Sustainable public-private partnership incentives for attracting large-scale private-sector investment in low-income housing
- 21/8 Africa fund/financing mechanism on slum prevention and upgrading
- 21/9 Women's land and property rights and access to finance
- 21/10 Strengthening the Habitat and Human Settlements Foundation: experimental financial mechanisms for pro-poor housing and infrastructure
- 22/1 Third session of the United Nations Conference on housing and sustainable development
- 22/3 Cities and climate change
- 22/4 Strengthening the development of urban young people
- 22/8 Guidelines on access to basic services for all
- 23/1 Gender equality and empowerment of women in sustainable urban development
- 23/3 Support for pro-poor housing
- 23/4 Sustainable urban development through access to quality urban public spaces
- 23/5 World Urban Forum
- 23/7 Urban youth development: the next step
- 23/8 Third United Nations conference on housing and sustainable urban development
- 23/9 Global and national strategies and frameworks for improving the lives of slum-dwellers beyond the Millennium Development Goals target
- 23/10 Future activities by the United Nations Human Settlements Programme in urban economy and financial mechanisms for urban upgrading, housing and basic services for the urban poor
- 23/11 Work programme and budget of the United Nations Human Settlements Programme for the biennium 2012–2013
- 23/12 Coordinated implementation of the guidelines on access to basic services for all and the guidelines on decentralization and strengthening of local authorities
- 23/13 Governance of the United Nations Human Settlements Programme
- 23/14 Sustainable urban development through policies for safer cities and urban crime prevention

- 23/16 Formulation of a global housing strategy
- 23/17 Sustainable urban development through expanding equitable access to land, housing, basic services and infrastructure
- 23/18 Natural disaster risk reduction, preparedness, prevention and mitigation as a contribution to sustainable urban development

Annex II

Assumptions and methodology

A. Assumptions for 2014–2015

1. Vacancy rates

1. Vacancy rates of 23 per cent for professional staff and 17 per cent for General Service staff are assumed in costing posts for 2014–2015, based on an analysis of income projections from the various sources of income. The vacancy rate will be monitored closely and adjusted, depending on the availability of resources.

2. Inflation

2. Inflation factors have not been applied, either to direct programme activities or to United Nations regular budget costs, as that will be done later by United Nations Headquarters at the time of the adoption of the United Nations regular budget by the General Assembly in 2013.

3. The following inflation rates are assumed for the Nairobi duty station:

- (a) Posts: an average of 5 per cent for the biennium;
- (b) Non-staff: an average of 5.5 per cent for the biennium.

4. The above-inflation rates for posts have been applied to the United Nations regular budget standard salary costs, version 11 (as used in the 2012–2013 initial appropriation), after adjusting for the above vacancy rates.

3. Exchange rate

5. An exchange rate of 88.875 Kenya shillings to the United States dollar is assumed.

B. Methodology: biennial support budget¹³

6. The methodology involves several sequential steps in calculating estimates. Those calculations are carried out separately for each year of a biennium. Essentially, the methodology is to take the approved appropriations for the first year of the current biennium and add the volume and cost adjustments, which results in the estimates required for the first year of the proposed biennium. Similarly, the approved appropriations for the second year of the current biennium are updated to result in the estimates required for the second year of the proposed biennium. Normally, the time during which estimates are prepared for the proposed biennial support budget is the third quarter of the first year of the current biennium. A description of each sequential step follows.

1. Volume adjustments

7. First, using the approved appropriations as a base, real increases or decreases in requirements are calculated and designated as volume changes. Volume changes represent the controllable elements in the estimates, subject to the Executive Director's assessment of the requirements of the organization to perform the tasks with which it is entrusted. Volume changes are calculated at the same price levels as the approved appropriations in order to facilitate comparison with the currently approved base.

2. Various cost adjustments

8. To the approved appropriations and volume changes are added cost increases or decreases attributable to changes in rates or conditions not tied to currency or annual inflation adjustments. They reflect only known changes that have occurred in the two years since the preparation of the previous biennial support budget. Such cost factors include, for example, decisions of the International Civil Service Commission on a variety of staff entitlements (such as dependency allowance and education grant). For staff cost adjustments, the standard salary cost formulated by United Nations Headquarters is used.

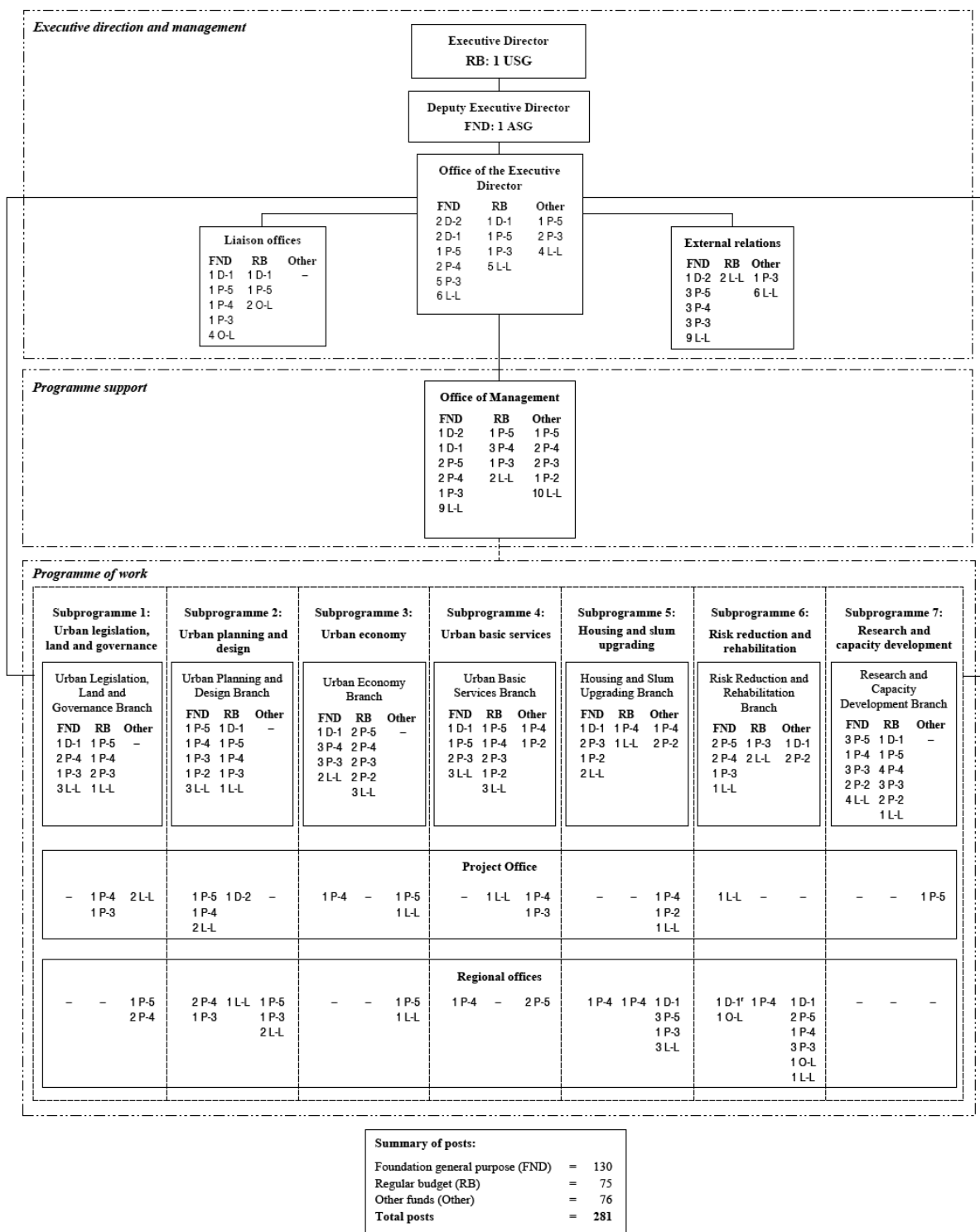
¹³ The same methodology on cost adjustments will be followed in respect of the biennial programme budget.

3. Currency adjustments

9. Currency adjustments are calculated by year on the total of approved appropriations, volume adjustments and various cost adjustments. Such currency adjustments would normally be the difference between the United Nations operational rate of exchange in effect on, for example, 1 September of the year preceding the current biennium and, for example, on 1 September of the first year of the current biennium (that is, the time of preparation of the proposed biennial support budget).

Annex III

Organizational structure and post distribution for the biennium 2014–2015



Annex IV

Implementation of the recommendations for the biennium 2012–2013 of the Advisory Committee on Administrative and Budgetary Questions

| Brief description of the recommendation or information request | Action taken to implement the recommendation and to provide the information requested |
|---|--|
| Report of the Advisory Committee on Administrative and Budgetary Questions (HSP/GC/23/5/Add.1) | |
| <p>Para 6. “While the Committee recognizes that these figures provide only a snapshot of the staffing situation at any given time, it considers that the provision of such information would improve transparency as to the overall staffing complement of UN-Habitat. The Committee therefore recommends that the number and level of these temporary posts be provided in future budget submissions.”</p> | <p>The information on the temporary project-funded posts has been included in the present budget document.</p> |
| <p>Para 8. “Regarding programme support costs ... the Advisory Committee had recalled an earlier recommendation that UN-Habitat report on progress with regard to its participation in a United Nations inter-agency working group established by the High-level Committee on Management of the Chief Executives Board (CEB) for reviewing the measures and adequacy of programme support and cost recovery policies.</p> <p>The Committee notes that no information is provided on this issue in the current budget document. It considers that it is important to follow-up on the outcome of the working group, and recommends that the Executive Director keep the Governing Council informed of any progress made in this regard. An update should also be provided in the context of the next budget submission.”</p> | <p>UN-Habitat continues to participate in the High-level Committee on Management. The knowledge derived from such participation has contributed greatly to the Programme’s new policy framework and particularly the development of the cost-recovery and allocation policy introduced in June 2012, which is based on the policies and experiences of other United Nations entities. Under the policy, direct costs are charged to projects, variable indirect costs are charged to programme support and fixed indirect costs to cost centres.</p> <p>Experiences shared on efficiency and productivity, performance measurement and transparency are informing UN-Habitat efforts to achieve improvements in these areas.</p> |
| <p>Para. 11. “The Advisory Committee requested additional information and clarification as to the status of the various reviews mentioned in the budget document, namely the governance review, the MTSIP Peer Review, and the organizational review.”</p> <p>Para. 12. “The Advisory Committee looks forward to receiving further information on these reviews and the recommendations for improving the alignment of the organizational structure of UN-Habitat with its medium-term strategic and institutional plan.”</p> | <p>UN-Habitat has undertaken extensive consultations with the Committee of Permanent Representatives to UN-Habitat, during which a range of governance options have been considered. Discussions are continuing on possible governance options. At the conclusion of the discussions, a report will be prepared on possible governance options for submission to the Governing Council at its twenty-fourth session in April 2013.</p> <p>The peer review of the medium-term strategic and institutional plan made 16 recommendations on improving the organizational performance of UN-Habitat. As at 31 December 2012, UN-Habitat had implemented 86 per cent of those recommendations, including:</p> <ul style="list-style-type: none"> • Adoption of a new organizational structure to ensure better alignment of the Programme with the strategic focus areas and improved achievement of results • Development of a new six-year strategic plan that defines clear and transparent short-term and long-term programme priorities • Implementation of a project accrual and accountability system (PAAS) to deliver a unified |

| Brief description of the recommendation or information request | Action taken to implement the recommendation and to provide the information requested |
|--|---|
| | <p>planning and reporting system for decision-making, and to enhance accountability and transparency</p> <ul style="list-style-type: none"> • Creation of an independent evaluation function <p>In addition to strategically aligning the organization, a major objective of the reform was to achieve greater efficiency, productivity, accountability and transparency. In this respect, a new policy framework supported by simplified procedures, greater delegation of authority to regions and branches – in accordance with the existing rules – and supporting tools have been implemented. UN-Habitat has joined the International Aid Transparency Initiative (IATI) and publishes information about its project portfolio using IATI standards.</p> <p>The new organizational structure introduces a new matrix structure to promote a “One-UN-Habitat” organizational culture that facilitates close collaboration between the normative and operational functions of the Programme. Each subprogramme is implemented jointly by a thematic branch and the regional offices with the Project Office ensuring that programme alignment takes place from the planning stages of projects, cross-cutting issues are effectively mainstreamed in the Programme’s work and lessons and best practices from operational activities are shared across UN-Habitat and fed back into the review of global norms and policies.</p> <p>The institutional reform has entailed extensive consultation and discussion with staff. In this context, a staff management consultative committee was created and continues to address staff issues related to the reform and staff welfare. A staff survey carried out in January 2013 demonstrated that staff members’ perceptions of the changes resulting from the reform are positive overall, particularly in the areas of enhanced collaboration, both internally and with partners; clear strategic direction and enhanced business processes.</p> <p>The organizational review is almost complete, the remaining step being the publication of the related Secretary-General’s bulletin.</p> |