

# UN-HABITAT Partnership Strategy

**May, 2011**

*“The United Nations is working to help governments forge international solutions to problems that transcend national borders. But we realize that governments cannot do the job alone. We need all of our partners in this monumental effort to address the global challenges of our time. Non-governmental organizations, the faith community, businesses and other partners in civil society are crucial to overcoming the modern challenges we face.”*

UN Secretary-General Ban Ki-Moon, New York  
15 September 2008  
(UN, 2008)

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## Rationale and Organization

1. This Partnership Strategy aims to provide a framework within which UN-HABITAT can fulfill its mandate as outlined in the Habitat Agenda and the Medium-Term Strategic and Institutional Plan. The principle goal of the Partnership Strategy is to detail the environment and structures that will enable UN-HABITAT's partners to work with the relevant divisions and sections within the agency.<sup>1</sup> The overall vision is UN-HABITAT achieving its overall objectives of sustainable urbanization and shelter for all through effective communication, partnership and relationship management and collaborative effort.
2. The strategy is divided into three parts, Part A describes the history of partnership within UN-HABITAT as well as the key documentation and frameworks within which partnerships can and should take place. Part B gives an overview of the current status of partnerships within UN-HABITAT and places heavy emphasis on partnership engagement mechanisms – the World Urban Campaign, the World Urban Forum, the Governing Council and other networks. Part C details the New Partnership Strategy. This includes opportunities for involvement of partners within UN-HABITAT's governance structure and the mechanisms through which they can be engaged. It also proposes the internal competencies and structures UN-HABITAT requires to effectively engage partners. Finally, a series of actions are proposed which would fully and formally engage partners in UN-HABITAT's work and thereby better enable UN-HABITAT to meet its mandate. These actions are designed to institutionalize partners into the work of UN-HABITAT as well as properly measure and evaluate their contribution.
3. The appendices consist of a detailed description of the MTSIP Focus Areas, UN-HABITAT's legal agreements and the Habitat Agenda Partner Groups as well as the list of participants of the Habitat II Conference. The appendices also include a list of the type of partnerships that UN-HABITAT engages in and finally a tentative list of partnership selection and evaluation criteria.

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<sup>1</sup> The term ‘Habitat Partner’ or ‘Habitat Agenda Partner’ used in this paper refers to the range entities and organizations outside of central government who, since 1996, have been in the pursuit of sustainable urbanization and shelter for all.

## **1.0 Part A: Background**

### **1.1 History of Partnership within UN-HABITAT**

4. The Habitat II Conference of June 1996 in Istanbul in many ways set pioneering ground for the manner in which “non-State actors” participate in global United Nations conferences. Representatives of networks of civil society organizations, professionals, the private sector, local authorities, women as well as prominent individuals working on sustainable urbanization issues made commitments to the global plan of action of the Conference, the Habitat Agenda and its pursuit of shelter for all and sustainable human settlements development in an urbanizing world. In fact, the Habitat Agenda, which continues to provide the principal mandate of UN-HABITAT and on the implementation of which the agency reports annually to both ECOSOC and the General Assembly, specifically states that the success of its global plan of action depends on partnership between all levels of government, civil society in all its dimensions and the private sector.
5. To paraphrase from the Habitat Agenda, in Istanbul “governments at all levels, the community sector and the private sector considered how the achievement of the two principal goals of adequate shelter for all and sustainable human settlements development in an urbanizing world can be furthered.... through an enabling process...”. That enabling process was to allow the private sector, civil society organizations, community groups and other “Habitat Partners” to fully contribute to the achievement of the Habitat Agenda. It was this partnership aspect that made this global plan of action and the strategies for its implementation unique, by providing the conditions for organizations and institutions to interact, network and build partnerships for the objectives of adequate shelter for all and sustainable human settlements development. Explicit and implicit in the Habitat Agenda, reconfirmed at its five-year review at Istanbul+5 in 2001, is that successful, productive and vibrant partnerships will determine the success or failure of sustainable urbanization efforts at all levels - then, now and in future.
6. In fact, at the General Assembly in 2006, resolution A/RES/60/215 was passed which further recognized the need for partnerships and called upon the UN to ensure integrity and independence of the organization when entering into partnerships. In addition, the resolution defined partnerships as “voluntary and collaborative relationships between various parties, both public and non-public, in which all participants agree to work together to achieve a common purpose or undertake a specific task and, as mutually agreed, to share risks and responsibilities, resources and benefits”.
7. This in turn led the 21<sup>st</sup> session of the Governing Council of UN-HABITAT in 2007, member states requested UN-HABITAT to sharpen its programme focus and broaden its funding base. With this overarching goal in mind, the Governing Council approved the Medium Term Strategic and Institutional Plan for 2008 to 2013 (MTSIP), which encompasses six mutually reinforcing focus areas of work (Appendix 1 – MTSIP Focus Areas), which clearly places strategic partnerships,

within and outside UN-HABITAT, as key to the achievement of its objective of sustainable urbanization and shelter for all. Although UN-HABITAT was an early pioneer in including outside partners in its work, success in the implementation of the MTSIP requires from UN-HABITAT a more robust and focused relationship with its partners.

## **1.2 Strategic Partnerships: The Way Forward**

In embarking on a new Partnership Strategy, the following must therefore be kept in mind:

### **1.2.1 Strategic Structuring of Partnership**

8. To ensure that such partnerships are strategic and therefore beneficial to the activities of UN-HABITAT, partners must be selected based on their alignment with the organizational mandate and the MTSIP, which provides a new and clear focus for UN-HABITAT's engagement with its partners.
9. Strategic partners depend on the cohesion and alignment of UN-HABITAT's programmes. Without these key elements, the sustainability of any partnership is at risk. Though programme alignment and cohesion is an internal issue, partners should be kept informed and the results of the alignment made public so that partners will know how and where they fit into UN-HABITAT's programmes and activities. UN-HABITAT's engagement platforms, outlined in Section Five of this paper, can be used as a platform to engage partners in this process.
10. Strategic partnerships are one of two approaches of the MTSIP's Enhanced Normative and Operational Framework for country-level activities. The MTSIP proposes that the first approach be a strengthened partnership and networking strategy to mobilize partners behind a common set of principles and development targets within the framework of a new, shared World Urban Campaign. The second track focuses on the operations of UN-HABITAT, with the purpose of aligning the organization's resources to better achieve an integrated programme of activities at the global, regional, national levels.
11. Integral to the first approach is the systemic engagement of partners from the local to the national to the regional to the global level in a simultaneous multi-directional, rather than a sequential hierarchical manner. In a recent review of best practices in urban partnerships, tri-sector broad-based partnerships of the public sector, the private sector, and civil society organizations were found to be the lynchpin of the majority of best practices. Represented either separately or within these sectors are key stakeholders such as women, youth, and other marginalized groups. The engagement of academic and knowledge-based entities, including the Habitat Partner Universities who, among other activities, contribute to the work of the national and local Global Urban Observatories, will be key to the development of normative outputs. In regard to operational outputs, key partners will be private sector, professional groups, and civil society. An inclusive country level system

approach can help fulfill the mandate of the Enhanced Normative and Operational Framework by allowing partners to channel input into national platforms —such as the Habitat Country Programme Documents and State of the World Cities Reports; or in regional platforms, such as the Regional Ministerial Meetings; and into international platforms such as the sessions of the Governing Council, the World Urban Forum, and the World Urban Campaign.

12. Major emphasis must be placed on building UN-HABITAT's capacity for engaging and bringing together other UN entities and Habitat Partners, including professional bodies, financial institutions, service providers and knowledge networks. Additional emphasis must be placed on building new partnerships and strengthening existing ones to further enable UN-HABITAT's work in going to scale and affecting measurable change on the ground. Programmes aligned with the MTSIP must identify current and prospective partners that can best catalyze the activities and the programmes they are undertaking. In turn, strategic partners should play a catalytic role by engaging organizations through their own networks, thus further assisting in going to scale and achieving long-term sustainable urbanization goals. For strategic partners to play this role, they must both have depth and breadth of knowledge of the issues at hand, a network of partners of their own, and the ability to take activities to scale, i.e. to amplify their impact.

13. In its role as a facilitator, UN-HABITAT can provide pre-investment support for the necessary preparatory stages of a project and 'catalytic' financing that enables partners to begin the first stage work on an activity, and/or as initial seed funds to engage other partners, including regional development banks and other financial institutions and to jointly leverage additional resources. Initial examples of such a pre-investment approach on which UN-HABITAT can build are the activities of the Experimental Reimbursable Seeding Operations (ERSO), the Water and Sanitation Trust Fund, the Opportunities Fund for Urban Youth-led Development and the Slum Upgrading Facility. Pre-investment activities can also take the form of pilot initiatives, which combine technical assistance, policy advice and limited funding. These UN-HABITAT pre-investment capacity-building efforts could also be followed up with capital investment provided by the development banks and/or expanded through the parallel efforts and support of bi-lateral development assistance agencies.

### **1.2.2 Interagency Partnership – The “One UN System” Strategic Approach**

14. The United Nation's work is often seen as fragmented and therefore weak. Unpredictable funding, duplication of effort, competition and policy incoherence are often cited as some of the reasons for this. By developing a system of better engagement of partners, operational governance and accountability, the UN System should be able to overcome deficiencies and be better able to achieve its goals laid out in the Millennium Development Goals and other internationally agreed upon plans of action, including the Habitat Agenda.

15. It was at the 1996 Istanbul Conference where United Nations inter-agency coordination and cooperation was acknowledged as critical for the achievement of sustainable urbanization, shelter for all and human settlements development. This inter-agency collaboration is a strategic form of partnership for UN-HABITAT and is part of broader UN system efforts (Appendix 2 – Inter-Agency Participants in Habitat II Conference).

16. One of the first steps toward institutionalizing such collaboration among UN Agencies was in 1997 when Secretary-General Kofi Annan established the United Nations Development Group (UNDG). The UNDG brings together the 32 UN funds, programmes, agencies, departments, and offices, including UN-HABITAT, to support the common objective of delivering more coherent, effective and efficient support to countries seeking to attain internationally agreed development goals, including the Millennium Development Goals. It is considered to be the UN system's executive committee for developmental cooperation. The UNDG's goal is to improve how the UN's funds, programmes and agencies work together and plan their responses to national needs.

17. Then, at the 2005 World Summit in New York, the Secretary-General asked a high-level panel to consider how the UN system can most effectively respond to the global development, environmental and humanitarian challenges of the twenty-first century. The result was the 'Delivering As One' or 'One UN' approach, which aims to overcome deficiencies in UN implementation capacity in particular.

18. One tool to increase coherence and consolidation of UN activities focusing on the country level and more effective governance, managerial and funding mechanisms that support this consolidation is the UN Development Assistance Framework (UNDAF). The UNDAF is managed by a United Nations Country Team and this team brings together all participating UN Agencies within a country and promotes collaboration toward specific goals and coherent programmes. Eight pilot countries were chosen to initiate such teams and UN-HABITAT is participating in six of these eight pilot programmes. In Kenya, for example, 21 UN Agencies come together to develop national priority areas and setting out annual work plans. Representatives from these Agencies meet monthly to discuss their progress and have an annual retreat where they discuss the priority areas and work plan for the subsequent year.

19. It has recently been acknowledged what an important role partners play at the country level and therefore the development of a Partnership Strategy for UN-HABITAT is timely and must be ever cognizant of the wider UN-system efforts to do exactly the same amongst its string of entities. Bringing such a strategy to the Country Teams in which UN-HABITAT is involved may further promote working with partners in a collaborative manner and support the vision of 'Delivering As One' and of the UNDG.

### **1.2.3 Benefits of Strategic Partnerships**

20. When entering into partnerships, both parties should see themselves as advancing their efforts or else the partnership will not be likely to continue. It is also necessary for UN-HABITAT to promote the potential benefits its partners may receive from the prospective joint activity in order to attract high capacity, strategic partners.

#### **Benefits for UN-HABITAT**

21. UN-HABITAT is a small agency and therefore by partnering with high capacity and strategic organizations, it is able to have a much wider reach and global impact that it could not have otherwise. Partnerships also have the benefits of bringing in expertise in areas that UN-HABITAT does not have. This will improve its ability to develop and implement successful programmes.

22. Partnerships with grassroots organizations will allow UN-HABITAT to have a greater understanding of the situation on the ground, which is a difficult task for any international organization. On the other hand, partnership with other international organizations can lead to more streamlined global programmes. A partnership is, after all, a working relationship working towards a common goal.

#### **Benefits for Partners**

23. One of the main benefits for external Habitat Partners is the legitimacy that is gained when collaborating with a UN body. Further benefits include the potential to make connections with like-minded organizations or donors that could bring about further partnerships or funding opportunities. As well, partnering with UN-HABITAT allows for potential capacity-building opportunities and access to trainings and information not easily found elsewhere.

24. For internal UN system partners, potential benefits include economies of scale as UN-HABITAT has the capacity to take the lead in various areas and share pioneering normative work. Other benefits include a more streamlined budgeting and implementation process, as it is a simpler process to collaborate internally than externally. Further, one of the most significant benefits would be the realization of the ‘ONE UN’ concept to reduce duplication and increase the efficiency and effectiveness of UN activities worldwide.

## **2.0 PART B: Current Status**

### **2.1 Overview**

25. Since Habitat II, UN-HABITAT’s attempts at active promotion of cooperation and coordination and the fostering of partnerships both outside and within the UN system have shown mixed results. It may have been that the original high expectations of many of the new Habitat Partners were dashed during and after the 1997 Commission on Human Settlements meeting, which rejected ambitious

and far-reaching proposals by the Secretariat for greater representation and decision-making powers in the governing body. Maybe it was the ultimate stalemate by 2001 in the negotiations on the World Charter on Local Self-Government, which eventually slowed and diminished the momentum of collective local authority partnership with UN-HABITAT. Another contributing factor may have been the inward focus of UN-HABITAT on internal restructuring in the years immediately following the Habitat II Conference. Whatever the cause, UN-HABITAT's approach to partnership since then can be considered haphazard and inconsistent, rather than strategic and systematic.

26. The skewed and somewhat random collaboration of UN-HABITAT with old and new partners is also in many ways the result of shifting funding patterns and funding partnerships with donors and donor institutions as well as their changing priorities. UN-HABITAT does not have its own buoyant partner fund. It also reflects the integration of partners into the operational activities of the agency, which are located in most of its divisions, not just in its technical cooperation window. These often very "local" projects are time-bound, with local "non-State" partners and partner groupings beginning and ending their association with UN-HABITAT in line with the stages of the project cycle. So whereas it may be true that UN-HABITAT works with partners in almost all of its activities it is also true that over the years there is a remarkable lack of continuity which in turn impacts on the agency's ability to foster and maintain horizontal cooperation and to build a sturdy and enduring global platform for advocacy, policy formulation and programme implementation, and, of course, resource mobilization (Appendix 3 – Types of Partnerships).

27. Although UN-HABITAT has ongoing advocacy campaigns involving partner groups, particularly in the areas of housing, land and property rights and focused on slum dwellers, women and youth primarily, it is also clear that an effort of greater depth and breadth – and at the same time of sharper focus – is required. This is a view that is validated by the recent launch of the World Urban Campaign, which in many ways is attempting to do just that. In rising to this challenge, UN-HABITAT must overcome the age-old dilemma that small entities attract weak partners. But here there is sufficient reason to be optimistic based on the track record of UN-HABITAT, which has at one time or another partnered with virtually every major international, regional or bilateral development institution and actor. The challenge for the agency in light of all the aforesaid, therefore, is to keep the major players on board over time and at the same time.

## **2.2 Current State of UN-HABITAT Relations with Major Partner Categories**

28. Since 1996, UN-HABITAT has developed new and powerful partners not represented in the Istanbul conference, such as regional development banks and indigenous people (Appendix 4 – list of partner groups from the Istanbul Conference). At the same time, cooperation with the global and regional organizations of local governments, most prominently United Cities and Local Governments (UCLG), have stagnated, although good working partnerships continue with individual cities and their authorities. The UN Advisory Committee

of Local Authorities (UNACLA), much touted as a breakthrough in United Nations-local government relations as an advisory body to HABITAT's Executive Director, is in danger of becoming moribund. These are, altogether, worrying developments as UN-HABITAT, and indeed the Habitat Agenda, have made it quite clear that it is at the local or city level where the Agenda (and other related international human settlements development goals) must be implemented and succeed. Seen from this perspective, the "100 Cities" initiative of the World Urban Campaign may be able to recover some of this lost ground.

29. Furthermore, activities with foundations and international labour federations, among the original Habitat Partners, have virtually ceased, although in the case of the latter, the World Urban Campaign is trying to revive cooperation with the construction and wood workers, a former pillar of the Habitat II preparations. Work with the private sector declined rapidly after Habitat II, only to be revived in recent years by UN-HABITAT in the form of the Habitat Business Forum. The activities of the Global Parliamentarians on Habitat, one of the first, even pre-Habitat II, partner and advocacy groupings, have remained at the same, albeit low level over the past decade, with occasional bursts of activity along the way. As for that large agglomeration of organizations which corresponds to the civil society sector, it is rather amorphous and does not have a single organizational face, making it difficult to organize and coordinate. A major concern with this Habitat Partner is the fact that many of its members are small and work only in a local context, therefore making it difficult to identify strategic partners on a global scale.

30. Two partner groupings that have been rather consistent, and positively so, in their collaboration with UN-HABITAT have been the women and youth, enjoying a relatively high profile in activities to promote and implement the Habitat Agenda and in other activities and events initiated by UN-HABITAT. In part this reflects the prominence of women's organizations at Habitat II, and the independent funding sources of the Huairou Commission, the principal women partner organization of UN-HABITAT. In fact, independent donor funding is also in part an explanation for the continuing prominence of youth organizations among the agency's active partners. Another may be the tradition of energetic activism found in women and youth organizations.

31. Currently, inter-agency cooperation is, for the most part, defined by bilateral and time-bound cooperation with individual agencies in field projects and in other technical cooperation activities designed to address specific problems and issues in various countries and localities or to develop tools and guidelines for dissemination and application in developing countries in particular. Prominent here has been UN-HABITAT's work with UNICEF on urban water issues, with UNHCR on refugees and internally displaced persons (IDPs) and with UNODC on urban safety and urban youth programmes. Significant progress in inter-agency cooperation has been made mainly in the post-disaster and post-conflict area, with UN-HABITAT joining the Inter-Agency Standing Committee on Humanitarian Affairs. However, the kind of concerted agency reporting and monitoring, joint policy discussions and coordinated policy advocacy, as well the elaboration and implementation of joint programmes in pursuit of the goals of the Habitat

Agenda, has by and large eluded UN-HABITAT. This is despite UN-HABITAT's continuous attempts to do so, documented annually in its report to ECOSOC on the coordinated implementation of the Habitat Agenda.

32. The matter of horizontal cooperation alluded to above, raises the issue of effective United Nations inter-agency coordination and cooperation for sustainable urbanization and human settlements development, something which is presumed and assumed in the Habitat Agenda, especially given the broad United Nations system-wide participation (as well as of the Bretton -Woods Institutions) in the Istanbul Conference and its preparatory process. The experience of the past years has not borne this assumption out. The "Urban Forum", a loose inter-agency consultative group formed in late 1993 by UN-HABITAT with the blessings of the Inter-Agency Committee on Sustainable Development (IACSD) to support the preparations for Habitat II and which included the World Bank and virtually all major UN development-oriented entities and the vast majority of bilateral development assistance agencies, had by and large migrated to the newly-formed "Cities Alliance" by the end of the 1990s. In fact, this innovative initiative, co-founded and co-chaired by the World Bank and UN-HABITAT to support, in particular, the shelter and infrastructure goals of the Habitat Agenda and the slum reduction target of the Millennium Development Goals through pilot projects and capital investment follow-up, was in many ways seen by its founders as the nucleus of a prospective inter-agency Habitat Agenda task force, especially as it also includes on its boards, United Cities and Local Governments (UCLG) the principal local government organization, and representatives of developing countries. That this widely held expectation has not come to pass for various reasons does not mean that the issue should not be addressed within the framework of a future review of the Cities Alliance. However the anticipation of such a possible future development should not preclude UN-HABITAT from strengthening its own inter-agency cooperation in the meantime. Such an effort would also make the realization of the concepts of 'Delivering as One' and 'One UN', easier to achieve for UN-HABITAT at the country level, and systematically so.

### **2.3 Concluding Observations: The Way Forward**

33. UN-HABITAT has in recent times started to revive some partner networks, among them the researchers, universities and professionals, which provide all the more reason for a new partnership strategy as the timing seems right for a new concerted beginning, given the MTSIP, the World Urban Campaign and the growing prominence of the World Urban Forum. Such a new beginning must, however, also be based on the premise that creating a robust global partnership for sustainable urbanization is also the responsibility of the Habitat Partners, not only of UN-HABITAT, in line with their respective commitments to the Habitat Agenda and other related international sustainable development goals.

34. For UN-HABITAT to succeed in the above endeavours requires greater internal coordination and information exchange within UN-HABITAT to arrive at a common policy and to adhere to it. At present, virtually every division, branch,

programme, regional office and sometimes even internal sub-unit of UN-HABITAT have their own exclusive network of past and present partners developed over the course of their activities. Not only are these partners changing frequently, they are often not known to the entire agency. Further, those partners usually have no particular or deep knowledge of UN-HABITAT beyond that of the particular part of the agency which they have joint activities with. This “silo” mentality and absence of internal information exchange has led to a state where no single office has an overall, all-encompassing overview of the scope and depth of UN-HABITAT’s cooperation with partners, given that the branches, divisions and offices of the agency guard their autonomy and their respective partner relations jealously. Horizontal internal coordination mechanisms are required. It is a prerequisite for a more coordinated institution-wide partnership effort capable of sustaining a long-term effort to achieve the human settlements objectives of the international community and supporting the implementation of the ambitious goals of the agency’s new Medium-Term Strategic and Institutional Plan (MTSIP) and its Enhanced Normative and Operational Framework

35. For this strategic, coordinated and long-term approach to Habitat Partners to work in practice, it also requires the support of the governing body, the Governing Council of UN-HABITAT, as well as a greater supportive role for the World Urban Forum, as a consultative and coordinating body among and with Habitat Partners and not simply as a forum for global information exchange and networking.

## **2.4 UN-HABITAT Partnership Engagement Platforms**

36. UN-HABITAT uses local, national and global platforms to engage partners. At the global level, platforms include the biennial Governing Council and World Urban Forum, as well as the new World Urban Campaign. At the regional level, the Regional Ministerial meetings and at the national level these are the National Habitat Committees, Habitat Programme Managers and UN-HABITAT programme offices. At the local level, appropriate platforms to engage partners are pilot projects and activities by UN-HABITAT’s divisions, programmes and regional offices. Beyond that, the annual World Habitat Day acts as a mobilizing platform at the global, national and local levels where it is observed. These platforms must form a contiguous and mutually reinforcing process, ensuring that each platform is substantively linked to the others, and no one platform is a stand-alone event. This will allow partners to engage and participate in the platforms and thus be linked to the broader normative and operational work of UN-HABITAT.

### **2.4.1 Global Platforms**

37. UN-HABITAT has strong global platforms in the World Urban Forum, the Governing Council and the World Urban Campaign, which engage partners in a dialogue on sustainable urbanization in which they can, in varying degrees, have formal and informal input into the goals and activities of UN-HABITAT. These platforms however, could further mobilize partners to help effect global change,

which will have a positive impact on the lives of city and slum dwellers. Common concerns to these global platforms are the links amongst them and, especially in the case of the World Urban Campaign and the World Urban Forum, their linkages with the operational and normative work of UN-HABITAT.

### **World Urban Campaign**

38. The World Urban Campaign, successfully launched at the Fifth World Urban Forum in Rio de Janeiro in March 2010, is a global platform that will be used to increase global awareness of pressing issues of sustainable urbanization. The World Urban Campaign will provide governments and Habitat Partners with a framework through which they can discuss policies, tools, and advocacy instruments to advance the urban agenda within their respective constituencies and networks. The messages of the World Urban Campaign will include a set of principles to guide the improvement of cities, including strong citizen participation, local government activism and private sector investment, as well as national policies that support these processes for sustainable urbanization. A key parameter of the World Urban Campaign will be the need to engage partners strategically, selecting those partners that have the ability to broadly disseminate the urban sustainability message and influence national policies. As already mentioned, the first major platform of the Campaign will be the “100 Cities Initiative” to exchange experience and information on sustainable urbanization.

### **World Urban Forum**

39. The World Urban Forum is a biennial event of Habitat Partners and national governments that acts as a platform to deliberate on urban issues. Evaluations have shown that World Urban Forum is perceived as a success by partners, with an average of over 75% of respondents saying they were satisfied or very satisfied with the sessions of the Forum and about 80% of respondents stating that they would apply what they learned at the Forum to their local context.

40. However, there is concern that the different components of the World Urban Forum—networking sessions, dialogue sessions, and roundtables—are not effectively nor efficiently informed by, nor do they inform, UN-HABITAT’s activities and programmes. There is also concern that the World Urban Forum is not an effective platform toward substantial change in human settlements and that it should improve its structure and mechanisms to allow for a meaningful exchange with partners that positively impact on human settlements and on UN-HABITAT. This concern can be addressed by creating more intense exchange at information sharing and the systematic dissemination of knowledge and findings from the World Urban Forum to Governments, international decision-making, networks of Habitat Partners and National Habitat Committees where they exist. Regional bodies must as well be meaningfully involved in the World Urban Forum, possibly through the Ministerial Roundtable and other World Urban Forum activities.

## **Governing Council**

41. The Governing Council is a high-level forum of Governments that sets UN-HABITAT's policy, examines work and relationships with its partners, and approves the upcoming work programme and budget. The Governing Council has always been vocal in its support of the importance of partnership. It amended its rules of procedure in 2001, and became the first subsidiary body of the General Assembly to allow for a limited, but still significant, voice for local authorities and civil society organizations in its deliberations. The Governing Council sets aside a day of its sessions for dialogues with Habitat Partners on key issues before the Council in its role as the body responsible for providing policy guidance to the international community on sustainable human settlements. But the Governing Council has also been emphatic that its role is that of an intergovernmental decision-making body with the primary responsibility for reviewing and approving the work programme and budget of UN-HABITAT and for giving policy directives to the agency, and that the World Urban Forum should be the appropriate arena for the Habitat Partners to discuss, define and coordinate their contributions to the global sustainable urbanization agenda.

### **2.4.2 Regional, National and Local Platforms**

42. The regional engagement of partners is important to the success of the Partnership Strategy. Regional approaches consist of normative, advocacy, and knowledge management activities. The meetings of regional ministerial conferences supported by UN-HABITAT allow for normative debate on key issues brought forward by national governments and UN-HABITAT working within the Enhanced Normative and Operational Framework (ENOF) and are informed by major UN-HABITAT analytical publications such as the regional “State of the Cities” reports. It should be explored whether the Regional Ministers meetings can be better integrated into the work of UN-HABITAT and to create a better exchange of information between them and other platforms such as the World Urban Forum. In parallel, UN-HABITAT should deepen its engagement with other regional entities such as regional development banks and United Nations economic commissions.

43. UN-HABITAT also utilizes information activities at the national and global levels as a way to ensure that the concerns and priorities of the human settlements sector are mainstreamed into national policies and programmes. This is done especially through the over 40 UNDP country offices where Habitat Programme Managers (HPMs) are located<sup>2</sup>. World Habitat Day is a prominent focus of UN-HABITAT's information dissemination work globally and is often held in conjunction with the release of the biennial Global Report on Human Settlements. World Habitat Day celebrations are held globally and nationally as well as in many individual cities. These events can be important informal platforms for

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<sup>2</sup> Habitat Programme Managers are locally recruited, national professionals, placed by UN-HABITAT in UNDP country offices to ensure inclusion of Habitat Agenda objectives in UN Country strategies.

Habitat Partners to engage and advocate for human settlements development and sustainable urbanization. If held in partnership with academic institutions and CSOs, they can enhance engagement and improve Habitat Partners' understanding of UN-HABITAT's work and structural decision-making processes.

44. UN-HABITAT encourages the formation of regional networks that can act as a platform for Habitat Partners. Progress in this regard has already been made in Latin America, Africa, Asia, North America and Europe. For example, prior to each session of the World Urban Forum, civil society organizations in the various regions meet to discuss the human settlements issues facing them and develop an action plan that is communicated to UN-HABITAT, allowing the agency to better understand what interventions it must make in those regions and how to address these issues in the World Urban Forum session.

45. There are other types of networks based on expertise or focus area rather than partner type or location, these include the Habitat Partner Universities Network, which aims to engage universities on issues of sustainable urban development and to exchange data and mainstream their research, including into the work of UN-HABITAT. The Global Land Tool Network (GLTN) is another example. It focuses on poverty alleviation, land reform, improved land management and security of tenure.

## **3.0 PART C: New Partnership Strategy**

### **3.1 Implementing the Partnership Strategy**

46. As can be seen from the analysis presented above, strategic partnerships are key to the promotion of sustainable urbanization and the provision of adequate shelter for all. As the challenges of rapid urbanization cannot be met by UN-HABITAT alone, the agency must utilize a catalytic approach through identifying and working with key strategic partners in its normative and operational work.

47. This requires a more systematic approach to partnership with the aim of engaging strong and strategic partners in supporting the sustainable urbanization agenda. Furthermore, UN-HABITAT must align its partnerships with the MTSIP focus areas, and engage partners in the Enhanced Normative and Operational Framework at the national level, using this as a platform to go to scale, nationally, regionally and internationally. Given empirical evidence that broad-based multi-sectoral partnerships are key to the success of human settlement programmes, this strategy will strengthen the working relationship with old and new partners

### **3.2 Actions**

#### **a) Cataloguing, Assessment of Partners and Assignment to Focus Areas**

48. UN-HABITAT should launch a coordinated institution-wide effort to catalogue the number and names of UN-HABITAT partners, categorize them by focus area, by partner type and by type of partnership using the Partners Selection

and Evaluation Criteria outlined in Appendix 5. The result of this exercise should be a transparent, up-to-date database of Habitat Partners and their work with UN-HABITAT. Partners with whom Habitat has had no contact with for five years or more should be dropped from this new Partnership Database. The new data should be kept current and made accessible to all sections of UN-HABITAT. It can be argued that this work has already begun through the ongoing cleansing and updating of the Civil Society and Private Sector partner databases maintained by the Partners and Youth Branch.

Timeframe – short-term

Monitoring Indicator – an up to date, online, database of partners, who they are working with and an evaluation of their work

49. The improvement of data management through the review and analysis of the current ways in which partnership data is being captured and used by UN-HABITAT. This review should determine who in UN-HABITAT is collecting data, for what reason, and in what way. This includes non-financial engagements, as well as those in which partners do not sign legal agreements. With this information, an agency-wide partnership data management plan must be established that serves the needs of and is accessible to all division and offices, while still maintaining the security and integrity of the data itself.

Timeframe – short-term and medium term

Monitoring Indicator – a report on UN-HABITAT's current method of engaging partners and a partnership data management plan

50. The end result of this cataloguing/assessment exercise should be to establish a baseline of a core group of capable partner organizations and institutions to build on and expand in accordance with Habitat's strategic goals as defined in the Habitat Agenda, the MDG targets and the current and future MTSIPs.

51. The Evaluation and Selection Criteria (see Appendix 5) should ideally also be used for the selection of partners for time-bound field projects, if they are required, with the understanding that sometimes greater flexibility is required in applying the criteria here as the inclusion of such partners may be subject to the outcome of political negotiations between UN-HABITAT, Governments or other bi-lateral or multi-lateral development partners.

Timeframe – short-term

Monitoring Indicator – an approved list of evaluation and selection criteria

52. The Partner Selection and Evaluation Criteria should be developed as an online tool, linked to the larger partnership database. A transition period of one year should be allowed for reviewing current partnerships based on the proposed Criteria. Adequate resources should be set aside for this exercise during the transition period to ensure its success.

53. This database must have flexibility as the assessment may have a negative result in the case of some existing partners, and dropping them may have negative political consequences or they may be the only partners working in a certain region. The solution here may be capacity-building or further research into who may be available in the region. However the Evaluation and Selection Criteria

should be used rigorously to assess all future potential partners of UN-HABITAT, to the greatest degree possible. (See also paragraph 47 above)

Timeframe – medium-term

Monitoring Indicator – only strategic partners that meet the selection criteria chosen within UN-HABITAT

54. In parallel to the assessment of partner organizations, an inventory and review should also be undertaken of all existing memoranda of understanding, cooperation agreements and other contractual arrangements with Habitat Partners with the aim to review and update them if necessary and to also ensure that all parties, including UN-HABITAT, are living up to their obligations. The outcome of this exercise would not only be in the interest of oversight but also eventually lead to standardization in the format and clauses of agreements with partners and a unified UN-HABITAT-wide set of guidelines for entering into them.

Continuation of relationships should not be based on convenience but on performance – on both sides. UN-HABITAT has limited resources, which must be targeted for maximum return.

Timeframe – short-term

Monitoring Indicator – an inventory of all existing legal agreements

55. Partners should be notified of their designation to a particular focus area of UN-HABITAT and this has to be agreed on by both parties. Depending on their size and capabilities, there may be the possibility of assigning partners to more than one focus area

Timeframe – short-term

Monitoring Indicator – all partners notified of their designation to a particular focus area

56. Procedures should be established that would assist UN-HABITAT in verifying the authenticity of documents submitted by prospective partners before legal agreements are signed.

Timeframe – short-term

Monitoring Indicator – procedures established

**b) Organizing Partners and Institutionalizing Partnership in UN-HABITAT, including through Capacity Building**

57. The key to a more organized approach to partnership will be the establishment and development of a Partners Platform as an assembly of partners to dialogue among themselves and with UN-HABITAT and which will set up common priorities and programmes for action. Meetings of this Partners Platform will take place at the sessions of the World Urban Forum and the Governing Council. Its membership will consist of a representative from each of the Habitat Partner Groups, chosen in their respective consultative meetings prior to the Partners Platform meetings. They will then decide on how they would like to engage UN-HABITAT and how to structure and prioritize that cooperation.

Timeframe – short-term

Monitoring Indicator – successful meeting of the Partners Platform

58. The Partners Platform will focus primarily on global awareness raising, policy discourse, information exchange and exchange of best practices in sustainable urbanization and by doing so also contribute to the implementation of the World Urban Campaign. The Partners Platform could, if it so chooses, make recommendations to the Governing Council, the World Urban Forum and to UN-HABITAT on capacity-building on sustainable urbanization for partners, especially in carrying out the World Urban Campaign at the national and local levels. This may include the development of training and capacity-building materials to increase the capacity of national and local government officials and Habitat Partners.

59. The establishment of the position of a Habitat Partner Representative. The representative would be selected from the Partners Platform. To begin this process, the Partners Platform would formally elect a Habitat Partner Representative for the next Governing Council who would have official observer status at the subsequent Governing Council. This procedure will probably require the consent of the President and the Bureau of the Governing Council upon recommendation of the Executive Director of UN-HABITAT.

Timeframe – medium-term

Monitoring Indicator – the position of Habitat Partner Representative established

60. Some consideration should also be given to establishing two additional clusters of partners linked to the Partners Platform but also separate from it given their unique institutional and technical character. The first would include collaborating UN agencies because of their ‘sister agency’ status and UN-HABITAT’s direct organizational, political, financial and administrative links to them as part of the UN system and UN operational activities at the country level. Then there would be a ‘financial institutions and parastatal’ cluster consisting of multi-lateral, regional and other financial institutions and public sector entities with whom UN-HABITAT works directly in the finance and delivery of housing, water and sanitation and other services related to sustainable urbanization.

Timeframe – medium-term

Monitoring Indicator – additional partner clusters established

61. Capacity-building efforts should be made by UN-HABITAT to create training and toolkits for:

- The management of partnerships and improvement of external communications, especially in the area of infrastructure and Internet communications capacities. One of the aims of this exercise should also be to improve communication among partners and between partners and UN-HABITAT and to foster a permanent interactive dialogue and exchange of information.
- Increasing partners’ use of participatory planning approaches and methodologies, with a focus on developing and utilizing new spatial and web-based technologies, and the increase in their mobilization and awareness raising capacities.
- Strengthen the public information and communications/lobbying skills of Habitat Partners.

- Strengthen the linkage between policy and strategic innovation, as well as the implementation capacity of Habitat Partners,
- Strengthen the capacities of Habitat Partners to assess the impacts of public policies, programmes, and projects, as well as of various private initiatives, and that are written in as many national and local languages as possible.

Timeframe – medium to long-term

Monitoring Indicator – number of trainings organized

62. As for the planning and preparations for a likely HABITAT III conference, the focus must be on building partnerships and on the commitments UN-HABITAT as well as Governments, local authorities and all other partner groups will make towards achieving sustainable urbanization and shelter for all. The World Urban Campaign, the World Urban Forum, the Partners Platform, National Habitat Committees and other supporting clusters of partner organizations should be utilized to mobilize support for Habitat III at the global, national and local levels and to activate preparatory committees for Habitat III.

### **c) Development of Joint Policies and Activities**

63. Habitat Partners should be encouraged to actively participate in the formulation of sustainable urbanization policy at the global, national and local levels. The World Urban Campaign, the World Urban Forum and dialogue sessions at the Governing Council and the prospective Habitat III Conference should be used to facilitate this.

Timeframe – medium to long-term

Monitoring Indicator – number of partners involved in formulating sustainable urbanization policies

64. UN-Habitat should facilitate the operationalizing of the Enhanced Normative and Operational Framework (ENOF) of the MTSIP at the national and local levels, especially when preparing country documents in cooperation with national governments containing agreed upon strategies as priority areas for technical cooperation. Some progress has already been made in the formulation of country documents for six of the eight pilot countries for the application of “One UN” and the new “Delivering as One” approach, but this practice must be standardized and generalized.

Timeframe – medium-term

Monitoring Indicator – standardized documentation concerning ENOF operationalization

65. In regard to the point above, some consideration should be given by UN-HABITAT to increase the capacity of key partners in target countries to effectively lobby their respective government in favour of sustainable urban development policies consistent with UN-HABITAT ‘s aims, goals and policies and promoting specific UN-HABITAT programmes and projects and their funding. This requires active engagement and information exchange, as well as

workshops and training of partners, all of which have financial implications, which need to be budgeted for.

Timeframe – medium-term

Monitoring Indicator – number of workshops/trainings of partners

66. Consideration should be given to establish a “Committee of Experts” drawing from the Partners’ Platform, as well as from the proposed associated partner clusters of UN agencies and financial institutions and public sector companies and bodies, to work with UN-HABITAT on a continuous basis to review the implementation of policies and the development of the new messages and policies within the framework of the MTSIP, the Enhanced Normative and Operational Framework and the implementation of the Habitat Agenda and the Millennium Development Targets. Such a Committee could greatly enhance UN-HABITAT’s policy capacity and credibility and at the same time provide an avenue for partners to impact UN policy-making at the international level. Such ‘expert committees’ already are in place in a number of individual programmes of UN-HABITAT, but not at the general overall UN-HABITAT level.

Timeframe – medium to long-term

Monitoring Indicator – establishment of a Committee of Experts

67. Such an approach at the policy formulation level should ultimately also lead to a set of activities to develop policies which have the buy-in and support of key partners, raising the possibility of success and utilizing broad partner support for joint fundraising efforts with donors as well as direct support from partners which have their own funding or financial base.

Timeframe – medium to long-term

Monitoring Indicator - greater financial base

**d) Regularizing and Systemizing UN-HABITAT’s Cooperation Mechanisms<sup>3</sup>**

68. UN-HABITAT must strive to become a partner and preferably, the partner of choice for those wishing to advance the work of sustainable urbanization. This can be achieved in part through the review and update of UN-HABITAT business processes in light of an increased and systematic role of partnerships in the work of UN-HABITAT. The aim should be to reduce and simplify administrative burdens and accelerate timely administrative procedures in UN-HABITAT’s dealings with partners.

Timeframe – short-term

Monitoring Indicator – review of UN-HABITAT business processes

69. The streamlining and simplifying of administrative procedures should coincide with the cataloguing and standardization of memoranda of understanding and cooperation agreements between UN-HABITAT and partners or groups of partners. Such a possible streamlining should be linked to the pursuit of the MTSIP’s Focus Area Six – Excellence in Management, but such streamlining must also take place within the limits and boundaries prescribed by the United

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<sup>3</sup> For a list of UN-HABITAT’s current legal agreement mechanisms, see Appendix 6.

Nations financial rules and procedures - limits which have to also be appreciated by UN-HABITAT's partners.

Timeframe – medium-term

Monitoring Indicator – streamlined administrative procedures

70. The formalization and establishment of the Review and Advisory Committee (RAC) on the Selection of Partners for Agreements of Cooperation should be completed as soon as possible. The purpose of this Committee is to approve proposed strategic partners, as per the proposed strategic Partner Matrix and the Evaluation Criteria for Operational Partners. This Committee must contain key staff members from all the major divisions who are involved in creating partnerships and working with partners. The Committee should also ensure that the partnerships are routinely evaluated using a results-based management framework.

Timeframe – short-term

Monitoring Indicator – review and advisory committee established

**e) Strengthening UN Inter-Agency Collaboration and ‘ONE UN’**

71. Within the framework of “Delivering as One” and “One UN” at the operational level, UN-HABITAT should systematically revive interagency-level cooperation to establish a core group of UN system partners to support the achievement of sustainable urbanization though, *inter alia*, a persistent policy dialogue leading to joint programming. Such a systematic and strategic approach to UN partnership should replace the current “piecemeal” approach based on sectoral or geographic priorities as they emerge over time.

Timeframe – short-term

Monitoring Indicator – inter-agency policy on sustainable urbanization developed

72. The participation of UN-system bodies, programmes and agencies in the World Urban Forum and Governing Council sessions must be strengthened. The aim should be consistent and regular participation and partnerships, especially in the World Urban Forum, including the sponsorship, formulation and conduct of dialogues and other aspects of the Forum. Organized UN inter-agency partnerships can ultimately be used to streamline sustainable urbanization and the implementation of the Habitat Agenda into the work of the UN system in a more effective way. It will also lead to a greater appreciation of the work of UN-HABITAT by the rest of the UN system and a sense of UN “ownership” of such innovations as the World Urban Forum and the World Urban Campaign.

Timeframe – medium-term

Monitoring Indicator – number of UN Agencies participating in UN-HABITAT events

73. Such strengthened inter-agency cooperation should go hand-in-hand with improving collaboration with regional financial institutions and re-energizing UN-HABITAT’s relationship with the World Bank and bi-lateral development assistance agencies through the “Cities Alliance”, with a view also to mobilize

inter-agency and international support for a possible Habitat III Conference in 2016.

Timeframe – medium-term

Monitoring Indicator – number of projects/activities with regional financial institutions and bi-lateral development assistance agencies

74. Building on UN-HABITAT's inter-agency cooperation, these linkages should be used as a means to facilitate a greater UN-HABITAT presence at the country-level as part of "Delivering as One" and "One UN" based on an appreciation by other partner agencies of UN-HABITAT's comparative advantage. Systematic inter-agency cooperation is also required as a necessary part of implementing and operationalizing the ENOF and the MTSIP. All this however will have human and financial resource implications for UN-HABITAT.

Timeframe – short-term

Monitoring Indicator – UN-HABITAT's participating in country United Nations Development Assistance Frameworks (UNDAFs)

**f) Internal Organizational Implications for UN-HABITAT**

75. Senior management must ensure organizational understanding and buy-in to the enhanced focus on strategic partnerships. This will require the assessment of internal partnership capacities and performance and capacity-building/trainings thereafter as required.

Timeframe – short-term

Monitoring Indicator – report on an assessment of internal partnership capacities

76. The strengthening of a Habitat Partners Secretariat that would be tasked to be the focal point for Habitat Partners within UN-HABITAT, to support the work of UN-HABITAT with partners as well as to support partners in their joint activities with UN-HABITAT. The secretariat would also articulate partners' priorities and interests within UN-HABITAT, including backstopping the Habitat Partners' Representative, the Partners' Platform and similar associated bodies, if any, and the planning of the partner participation in UN-HABITAT events. The secretariat would facilitate joint planning and policy activities involving UN-HABITAT and selected groupings of partners. The Habitat Partners Secretariat would need to have dedicated resources and UN-HABITAT organizational support.

Strengthening this secretariat should involve the movement and merging of all the sections dealing specifically with Habitat Partners into one Habitat Partners Secretariat. This secretariat should be located in a division that works on cross-cutting issues, as partnership is the main cross-cutting element in UN-HABITAT's work. This will ensure systematic implementation of the partnership strategy.

Timeframe – medium-term

Monitoring Indicator – establishment of a Habitat Partners Secretariat

77. The establishment of a Partnership Core Competencies Programme based on the United Nations Competencies for the Future programme. The engagement of

partners requires a range of soft and hard skills, ranging from “partner relation” training—including partnership integrity and ethics—to contract management and database training. The focal point for such a programme should be the Training Branch.

Timeframe – medium-term

Monitoring Indicator - establishment of a Partnership Core Competencies Programme

78. Fundraising for such enhanced work with partners should be undertaken with donors both by UN-HABITAT and key partners, possibly as part of fundraising for the World Urban Campaign. Successful fundraising must be linked to the joint activities that UN-HABITAT and partners intend to engage in if they are to have enhanced chances of success.

Timeframe – medium to long-term

Monitoring Indicator – UN-HABITAT has a greater financial base

79. Enhanced partnerships will mean building up UN-HABITAT’s normative credibility, especially if UN-HABITAT aims to be a credible capacity-building opportunities of partners. UN-HABITAT should therefore strengthen its cooperation with knowledge partners and the media. To enhance its role as a learning institution and in order to promote solutions to sustainable urbanization, UN-HABITAT should:

- Expand the Habitat Partner University Network and enhance support to the Global Urban Observatories and the Global Land Tool Network with the aim of contributing to setting research agendas, promoting joint knowledge production, strengthening the shared use of data, and enhancing debate and mutual dissemination; and
- Enhance the use of Internet tools and social networking to better engage its partners

Timeframe – medium-term

Monitoring Indicator – Habitat Partner University Network and social networking expanded

80. Although it could be argued that the Dialogue during the Governing Council between and among national governments, local authorities and other partners could be strengthened and made more productive, such improvements should only be considered as part of a broader evaluation of the future link between the WUF and the Governing Council and the role of both bodies in supporting and promoting the World Urban Campaign. Only such a comprehensive approach will provide sufficient guarantee of success for any new partnership strategy to be contemplated by UN-HABITAT, given the importance of enablement and mobilization of partners to the successful implementation of the Habitat Agenda and sustainable urbanization goals.

Timeframe – short-term

Monitoring Indicator – greater linkages between WUF and the Governing Council

**g) Monitoring and Evaluation of the Partnership Strategy**

81. The implementation of the Partnership Strategy should be subject to rigorous monitoring and periodic evaluation, both internally and externally, with the guidance of UN-HABITAT Monitoring and Evaluation Unit.

Timeframe – medium-term

Monitoring Indicator - auditing of the partners database to ensure it is up to date and reports by all divisions who are responsible for carrying out the various action items published in the below mentioned ‘Partners Cooperation Report’

82. The above will involve the creation of indicators of effective partnership engagement to be used to measure the engagement of partners by UN-HABITAT, including response time, partner satisfaction and effectiveness of process. These should be included within the database to allow all staff members the opportunity to comment as well as observe how effective the partnership is. There should also be a periodic objective external evaluation of partnership engagement. This evaluation should be shared with Habitat Partners.

83. Linked to the monitoring process should be the publication and distribution of an annual or bi-annual “Partners Cooperation Report”.

Timeframe – medium-term

Monitoring Indicator – publication of a Partners Cooperation Report

**3.3 Conclusion Observation**

84. Reversing the current situation with respect to partners and partnership would not only be beneficial for UN-HABITAT in fulfilling its focal point role in the implementation of the Habitat Agenda and related sustainable urbanization goals of the international community, but would also enhance its political position in the United Nations system and other decision-making fora. In light of the ongoing UN reforms and restructuring, including UN-HABITAT’s own reform process referred to throughout this paper, it is incumbent upon the organization to give the observations and recommendations proposed here serious consideration and, if found acceptable, to implement them with due speed and diligence.

<b>Goal</b>	Sustainable urbanization created by cities and regions that provide all citizens with adequate shelter, services, security and employment opportunities regardless of age, sex, and social strata
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<b>MTSIP Strategic Result</b>	Sustainable urbanization principles drive policy and practice
<b>Indicators</b>	<ul style="list-style-type: none"> <li>a) Proportion of urban population living in slums in developing regions</li> <li>b) Percentage access to piped water and sanitation services in developing regions</li> <li>c) Percentage access to durable housing and sufficient living area in developing regions</li> </ul>

<b>Focus Area Strategic Results</b>	1 Improved sustainable urbanization policies from local to global levels adopted	2 Inclusive urban planning, management and governance (UPMG) improved at national and local levels	3 Improved access to land and housing	4 Expanded access to environmentally sound basic urban infrastructure services with a special focus on the unserved and under-served populations	5 Increased sustainable financing for affordable and social housing and infrastructure	6 UN-Habitat delivers MTSIP planned results effectively and efficiently
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<b>Expected Accomplishments</b>	1.1 Improved awareness of sustainable urbanization issues at the local to global levels	2.1 Improved policies, legislation and strategies support inclusive UPMG	3.1 Improved land and housing policies implemented	4.1 An enabling policy and institutional frame-work promotes expanded access to environmentally sound urban infrastructure and services	5.1 Financing raised for and increases recorded in affordable and social housing stock and related infrastructure	6.1 Staff are empowered to achieve planned results
	1.2 Habitat Agenda partners actively participate in the formulation of sustainable urbanization policy	2.2 Strengthened institutions promote inclusive UPMG	3.2 Security of tenure increased	4.2 Slum improvement and prevention policies promoted	5.2 Increased institutional efficiency and effectiveness in the provision of basic urban infrastructure services	6.2 Institution aligned to deliver MTSIP results
	1.3 Monitoring of sustainable urbanization conditions and trends improved	2.3 Improved implementation of inclusive UPMG	3.3 Slum improvement and prevention policies promoted	4.3 Enhanced consumer demand for efficient and environmentally sustainable basic urban infrastructure and services	6.3 Increase in activities in municipal finance and affordable housing finance (globally, excluding OECD countries)	6.4 Financial resources to deliver MTSIP results available

# Focus Area 1

Effective advocacy, monitoring and partnerships  
Results framework

<b>Goal</b>	Sustainable urbanization principles drive policy and practice		
<b>Strategic Result</b>	Improved sustainable urbanization policies from local to global levels adopted		
<u>Indicators</u>	a) Degree to which UN-Habitat is viewed as a premier reference centre for urban trends and issues		
<b>Expected Accomplishments</b>	1 Improved awareness of sustainable urbanization issues at the national and global levels	2 Habitat Agenda partners (HAP) actively participate in the formulation of sustainable urbanization policy	3 Monitoring of sustainable urbanization conditions and trends improved
<u>Indicators</u>	a) Number of media articles and on Flagship reports and World Habitat day	a) Number of partnerships (by category) contributing to sustainable urbanization	a) Number of operational urban observatories (national/local)
	b) Number of downloads from UN-Habitat website		
	c) Number of countries that celebrate World Habitat Day		
	d) Number of countries with National Habitat Forums		
<b>Sub-Expected Accomplishments</b>	1.1 Effective dissemination of evidence-based knowledge on urban issues	2.1 Improved awareness increase HAP participation	3.1 Increased capacity for implementation of urban monitoring systems
	1.2 Expanded use of evidence-based knowledge in education	2.2 HAP commit to agreed norms and principles for sustainable urbanisation	3.2 Increased demand for evidence-based knowledge in policy making and practice, including sex- and age disaggregated data
		2.3 HAP capacity in monitoring government policy and implementation strengthened	

# Focus Area 2

Promotion of Participatory Planning, Management & Governance  
Results framework

<b>Goal</b>	Sustainable urbanization principles drive policy and practice		
<b>Strategic Result</b>	Inclusive urban planning, management and governance (UPMG) improved at national and local levels		
<u>Indicators</u>	a) Number of countries promoting comprehensive UPMG, including the economy, ecology and equity dimensions of sustainable urbanization b) Number of crisis-prone and post-crisis cities in affected countries integrating risk- and vulnerability-reduction programming in UPMG systems		
<b>Expected Accomplishments</b>	1 Improved policies, legislation and strategies support inclusive UPMG	2 Strengthened institutions promote inclusive UPMG	3 Improved implementation of inclusive UPMG
<u>Indicators</u>	a) Number of countries whose policies, legislation and strategies incorporate sustainable urbanization principles b) Number of crisis-prone and post-crisis countries whose UPMG policies, legislation and strategies incorporate urban risk- and vulnerability-reduction measures	a) Number of institutions in targeted countries that actively promote sustainable urbanization dimensions.	a) Number of cities implementing inclusive UPMG
<b>Sub-Expected Accomplishments</b>	1.1 Improved policy analysis 1.2 Policy advocacy improved, including through Campaign (see FA1) 1.3 Increased application of best policy practices 1.4 Effective policies and strategies related to UPMG, including in crisis-prone and post-crisis human settlements contexts	2.1 Strengthened organisational structures and processes for UPMG 2.2 Improved competencies and enhanced base of human resources for UPMG 2.3 Improved development of, access to and application of tools for UPMG	3.1 Improved inclusive action planning 3.2 Enhanced strategic partnerships for UPMG 3.3 Improved management of financial resources for UPMG 3.4 Improved capacity to apply UPMG, including in crisis-prone and post-crisis human settlements contexts

# Focus Area 3

Promotion of pro-poor land and housing  
Results framework

<b>Goal</b>	Sustainable urbanization principles drive policy and practice		
<b>Strategic Result</b>	Improved access to land and housing		
<u>Indicators</u>	a) Increased number of countries implementing policies to improve access to land and housing, including crisis affected countries		
<b>Expected Accomplishments</b>	1 Improved land and housing policies implemented	2 Security of tenure increased	3 Slum improvement and prevention policies promoted
<u>Indicators</u>	Number of countries implementing improved policies	a) Number of countries implementing policies to improve security of tenure, including measures to reduce forced evictions	a) Number of countries implementing slum prevention and improvement policies
<b>Sub-Expected Accomplishments</b>	1.1 Govt/HAP knowledge of innovative land and housing policies and programmes improved	2.1 Govt/HAP knowledge of equitable land and housing rights increased	3.1 Govt/HAP knowledge on slum upgrading and prevention improved
	1.2 Govt/HAP capacity to promote hazard-resistant and sustainable housing construction increased	2.2 Govt/HAP capacity to achieve equitable land and housing rights strengthened	3.2 Govt/HAP capacity to develop slum upgrading and prevention policies and strategies strengthened
	1.3 Govt/HAP capacity to implement land and housing policies increased	2.3 Govt/HAP capacity to effectively address housing, land and property in crisis-prone and post-crisis contexts increased	3.3 Govt/HAP supported in implementing slum upgrading and prevention policies and strategies
		2.4 Govt/HAP utilise alternative approaches to forced evictions	

# Focus Area 4

Environmentally sound basic urban infrastructure and services  
Results framework

<b>Goal</b>	Sustainable urbanization principles drive policy and practice		
<b>Strategic Result</b>	Expanded access to environmentally sound basic urban infrastructure services with a special focus on the unserved and underserved populations		
<u>Indicators</u>	a) Numbers of people in target communities with access to environmentally sound basic urban infrastructure services. b) Percentage of institutional stakeholders reporting positive perception of UN-Habitat's contribution to expanded access for the poor to basic urban infrastructure services in selected communities.		
<b>Expected Accomplishments</b>	1 An enabling policy and institutional framework promotes expanded access to environmentally sound urban infrastructure and services	2 Increased institutional efficiency and effectiveness in the provision of basic urban infrastructure services	3 Enhanced consumer demand for efficient and environmentally sustainable basic urban infrastructure and services
<u>Indicators</u>	a) Number of countries progressively adopting relevant policies that aim to expand access to environmentally sound urban infrastructure and services  b) Number of institutions in target countries progressively adopting institutional mechanisms that expand access to environmentally sound urban infrastructure and services	a) Percentage of service providers recovering at least operation and maintenance cost of services  b) Percentage of consumers of UN-HABITAT partner service provider organizations reporting satisfaction with services provided	a) Percentage of consumers ranking basic urban infrastructure services in the first three of their priority of needs  b) Percentage difference in the price of basic urban infrastructure services paid by the poor vis-à-vis the rest of consumers in selected communities
<b>Sub-Expected Accomplishments</b>	2.1 Strengthened service-provider capacity	3.1 Environmentally sound standards and practices in place	
	2.2 Improved service delivery monitoring mechanisms inform decisions	3.2 Enhanced knowledge of consumers on their rights to basic urban infrastructure and services	
	2.3 Enhanced capacity of service providers to address climate change	3.3 Sustainable consumption practices utilised	

# Focus Area 5

Strengthened human settlements finance systems  
Results framework

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<b>Goal</b>	Sustainable urbanization principles drive policy and practice
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<b>Strategic Result</b>	Increased sustainable financing for affordable and social housing and infrastructure
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<u>Indicators</u>	a) Increased financing for sustainable and inclusive cities b) Increased number of households with improved housing and infrastructure
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<b>Expected Accomplishments</b>	1 Financing raised for and increases recorded in affordable and social housing stock and related infrastructure	2 Increase in activities in municipal finance and affordable housing finance (globally, excluding OECD countries)
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<u>Indicators</u>	a) Value of commercial loans, government subsidies and donor grants made available for projects financing affordable housing, upgrading and basic infrastructure in targeted countries and communities	a) Level of municipal finance sector activity
	b) % of housing loans by domestic banks and micro-finance institutions going to lower-income deciles and / or people with informal incomes	b) Level of affordable housing finance sector activity

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<b>Sub-Expected Accomplishments</b>	1.1 Established sustainable revolving credit and loan facilities	2.1 Targeted government programmes to support affordable housing and slum upgrading
	1.2 Local Finance Facilities to facilitate slum upgrading through blended commercial and community finance and partnerships between government, communities and the private sector	2.2 Effective consumer education and protection systems in housing finance
	1.3 Effective mechanisms for technical assistance to Banks, Microfinance Institutions and community groups in housing finance	2.3 Catalyzing local Institutions to provide access to financial services and financing of basic infrastructure

# Focus Area 6

Excellence in management  
Results framework

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<b>Goal</b>	Sustainable urbanization principles drive public policy and practice
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<b>Strategic Result</b>	UN-HABITAT delivers MTSIP planned results effectively and efficiently
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<u>Indicators</u>	a) Score on organizational efficiency and effectiveness from staff survey b) Score on organizational performance from external evaluations
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<b>Expected Accomplishments</b>	1 Staff are empowered to achieve planned results	2 Institution aligned to deliver MTSIP results	3 RBM principles applied	4 Financial resources to deliver MTSIP results available
<u>Indicators</u>	a) Percentage of staff whose skills set are aligned with their MTSIP compliant job description b) Reduction in time spent on completion of selected business processes c) Percentage of staff reporting improved knowledge and information sharing	a) Number of key restructuring decisions implemented as recommended by organizational review b) Percentage of staff reporting increased horizontal collaboration	a) Percentage of programmes and projects that are contributing to focus area results b) Percentage of staff reporting willingness to be held accountable for MTSIP results	a) Degree to which resource targets for non-earmarked and earmarked funding are met b) Percentage of (earmarked/non-earmarked) resources allocated to MTSIP focus area priorities c) Percentage of staff reporting transparency in resource allocation decisions

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<b>Sub-Expected Accomplishments</b>	1.1 Strengthened staff competencies related to the MTSIP	2.1 Rationalised organisational structure	3.1 Programmes derived from MTSIP results	4.1 Effective mobilisation of resources to achieve MTSIP results
	1.2 Knowledge management systems effectively utilised	2.2 MTSIP focus area result delivery system operational	3.2 Performance measurement and evaluation informs decision-making and programming	4.2 Allocation of resources to MTSIP priority results
	1.3 Incentive structure for performance in place		3.3 Quality standards consistently applied in the achievement of planned results	
	1.4 Delegation of authority within an accountability framework			
	1.5 Efficient business processes applied			

## **Appendix 2 – Inter-Agency Participants of Habitat II Conference**

The secretariats of the following regional commissions were represented:

- Economic Commission for Africa
- Economic and Social Commission for Asia and the Pacific
- Economic and Social Commission for Western Asia

The following United Nations bodies and programmes were represented:

- United Nations Children's Fund
- United Nations Development Fund for Women
- United Nations Development Programme
- United Nations Environment Programme
- United Nations Population Fund
- United Nations University
- World Food Programme
- United Nations Centre for Human Settlements (Habitat)
- United Nations High Commissioner for Refugees, Office of the
- International Research and Training Institute for the Advancement of Women
- Committee on Economic, Social and Cultural Rights
- Committee on the Elimination of Discrimination against Women
- Committee on the Rights of the Child

The following specialized agencies and related organizations were represented:

- International Labour Organization
- Food and Agriculture Organization of the United Nations
- United Nations Educational, Scientific and Cultural Organization
- World Health Organization
- World Bank
- International Monetary Fund
- World Meteorological Organization
- International Fund for Agricultural Development
- United Nations Industrial Development Organization

The following intergovernmental organizations were represented:

- African Housing Fund
- Agency for Cultural and Technical Co-operation
- Arab Bank for Economic Development in Africa
- Asian Development Bank
- Caribbean Community
- Central American Integration System
- Commonwealth of Independent States
- Commonwealth Secretariat
- Company for Habitat and Housing in Africa (Shelter-Afrique)
- Council of Europe
- European Community
- Inter-American Development Bank
- International Committee of the Red Cross
- International Federation of Red Cross and Red Crescent Societies
- International Organization for Migration
- Latin American Parliament
- League of Arab States
- Nordic Council of Ministers
- Organisation for Economic Cooperation and Development
- Organization of African Unity
- Organization of the Islamic Conference
- World Tourism Organization

### **Appendix 3: Partner Selection and Evaluation Criteria**

Essential for the implementation of the Partners' Strategy will be the selection of new and the re-alignment of current partners. New strategic partner selection and evaluation criteria will be required to be used by all divisions and offices of UN-HABITAT. The below criteria is informed by UN-HABITAT's MTSIP Focus Areas and their prospective activity with partners as well as by the partners current role in UN-HABITAT,

	<b><u>Partner Type</u></b>									
<b><u>Type of Partnership</u></b>	Local Authority	CSO	Private Sector	Parliamentarian	Foundation	Trade Union	Professional / Researcher	Academy	Human Solidarity	Other
Implementing/ Funding										
Joint Projects										
Capacity Building										
Awareness Raising										
Consultative										
Facilitation										

**What activities has the partner been involved in over the last year?**

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What scale do they work at?

Locally	<input type="checkbox"/>
Nationally	<input type="checkbox"/>
Regionally	<input type="checkbox"/>
Globally	<input type="checkbox"/>

Which MTSIP Focus Area do they fit in:

<b>Focus Area 1:</b> Effective advocacy, monitoring and partnerships	<input type="checkbox"/>
<b>Focus Area 2:</b> Promotion of participatory urban planning, management and governance	<input type="checkbox"/>
<b>Focus Area 3:</b> Promote pro-poor land and housing	<input type="checkbox"/>
<b>Focus Area 4:</b> Environmentally sound basic urban infrastructure and services	<input type="checkbox"/>
<b>Focus Area 5:</b> Strengthened human settlements finance systems	<input type="checkbox"/>
<b>Focus Area 6:</b> Excellence in management	<input type="checkbox"/>

What skills do they possess?

Substantive Knowledge	<input type="checkbox"/>
Catalytic Ability	<input type="checkbox"/>
Up-Scaling Competencies	<input type="checkbox"/>
Monitoring & Evaluation Background	<input type="checkbox"/>
Implementation Capacity	<input type="checkbox"/>

The following is an expanded explanation of strategic partnership criteria as reflected in the Strategic Partnership Criteria matrix.

- Strategic partners must have a range of skills in the partnership area under which UN-HABITAT is engaging them. Skills can be linked to operational activities, for example the ability to construct homes or related infrastructure, or normative, such as the ability to undertake research.
- Strategic partners must have substantive knowledge within the partnership area in which they are engaged. This knowledge can be formal (i.e. knowledge that is recognized by formal institutions such as universities and other academic institutions) or informal (i.e. based on lived experience, such as civil society groups that represent a certain constituency).
- Strategic partners differentiate themselves from other partners based on their catalytic ability within their own networks. This means that for UN-HABITAT to become a catalytic organization with the purpose of going to scale, it must engage other entities that are also catalytic. Entities which are able to engage other partners cross-sectorally are therefore critical to increasing this potential of going to scale.
- Closely related to catalytic ability, up-scaling is the ability to bring networks, knowledge, and skills together, as well as access to resources to allow the project to go to scale. Strategic partners must be able to demonstrate that they can bring substantive resources, whether financial or in-kind, to the programme being undertaken.

#### **Appendix 4: Types of Partnership**

- i. Implementation/Funding
- ii. Joint projects
- iii. Capacity Building
- iv. Awareness Raising
- v. Consultative
- vi. Facilitation

##### **i) Implementing/Funding**

These partners are organizations which are hired/funded or otherwise subsidized by UN-HABITAT to implement a project, a task or activity. These partners do not often bring funds to the partnership, however they do bring expertise and the ability to implement something that UN-HABITAT does not have. For example: The Centre in Housing Rights and Evictions (COHRE) is funded to produce a housing, economic, social and cultural rights advocacy tool, Housing and ESC Rights Law Quarterly, which is circulated by UN-HABITAT.

##### **ii) Joint Projects**

These partners are organizations that collaborate with UN-HABITAT in developing a publication, training or project. This can be through funding, through joint implementing and through collaborative writing. For example: the Global Water Operators Partnership Alliance, Cities Alliance and the World Bank. In the case of the former, UN-HABITAT started the development of integrated water resource management capacity building materials for water utilities and the development of a geo-referenced utility benchmarking system with Google and IBNet.

##### **iii) Capacity Building**

These partners are organizations that receive capacity building from UN-HABITAT or provide it on behalf of UN-HABITAT. This can take many forms from attending or co-organizing training courses and being part of the various UN-HABITAT networks which disseminate information, toolkits and guidelines. An example is technical assistance, advisory services and training to women's land access trusts in various countries throughout Africa who are then able to use this knowledge to train others.

##### **iv) Awareness Raising**

These partners are organizations that assist UN-HABITAT in raising awareness of sustainable urbanization locally and globally. They are also organizations that are part of networks and take part in various UN meetings. For example<sup>1</sup>: the Global Land Tool Network, the Sustainable Urban Development Network, Global Research Network, the Global Parliamentarians on Habitat, Habitat Professional Forum and Business Partnership for Sustainable Urbanization, all of which consists of local, national, regional and international partners who share ideas and raise awareness of the issues of sustainable urbanization and shelter for all.

##### **v) Consultative**

These partners are organizations/individuals who assist UN-HABITAT on a consultative basis. They take part in expert group meetings, on panels at meeting and assist in editing our publications. For example: UN-HABITAT, when preparing the Gender Action Plan and when developing the World Urban Campaign brought a wide range of partners and experts in for consultation.

##### **vi) Facilitation**

These partners are organizations that are introduced to one another so as to work together to achieve the goal of sustainable urbanization. These partners do not always work directly with UN-HABITAT but as the result of passing contact with UN-HABITAT, they boost the implementation of the Habitat Agenda. For example: in the Experimental Reimbursable Seeding Operations (ERSO) programme facilitated cooperation between domestic banks, local authorities and urban poor organizations to mobilize and package domestic capital, public investments and community savings for slum upgrading.

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<sup>1</sup> This is not an exhaustive list of bodies or networks.

## **Appendix 5: Categories of Partners**

The partners identified in the Habitat Agenda of the 1996 Istanbul Habitat II Conference are as follows:

- Local Authorities
- Non-Governmental Organizations (NGOs) – Community Based Organizations (CBOs)
- Trade Unions
- Professionals & Researchers
- Academies of Science and Engineering
- Human Solidarity Groups
- Indigenous People
- Parliamentarians
- Private Sector
- Foundations
- Public Sector Corporations
- Financial Institutions

A few months after the conference, through an executive decision of UN-HABITAT, two additional partner groups were established. This was in consideration of the cross-cutting nature and importance of ensuring the continuity of facilitating the involvement of women and youth in human settlements development issues:

- Women's Groups
- Youth

### **i) Local Authorities:**

Local Authorities consist of the group including mayors, municipal councils, and other decision-makers who are involved in constructing, operating and maintaining economic, social and environmental infrastructure; who oversee planning processes, establish local policies and regulations, and assist in implementing national and sub-national policies. Since local authorities are the level of governance closest to people, they play a vital role in educating, mobilizing, and responding to the public to promote sustainable urbanization. Local authorities are the main Habitat Agenda Partner.

[The *United Cities and Local Governments (UCLG)* was formed as a result of a merger of the major international local authorities associations. Its aim was to intensify the role of Local Authorities at the international political level and also to establish partnership structures with the UN system and with other international bodies. UCLG aims to promote participatory development policies and gender perspectives; to improve transparency and efficiency in the management of regions, metropolises, towns and villages; to strengthen direct co-operation among local authorities and between local authorities and the United Nations; and promote the representation of local authorities in UN-HABITAT.]

### **ii) Civil Society Organizations**

“Civil Society Organizations (CSOs)” describes groups of individuals and organizations acting voluntarily and on a non-profit basis to address specific issues of concern, and those working to create significant change by overcoming obstacles in the daily lives of people. The term covers various organizational and legal forms; such as non-governmental organizations (NGOs), community based organizations (CBOs), professional associations, religious organizations, unions, co-operatives, societies, and others. These organizations have in common:

- An agreed purpose for their existence;
- A recognized legal status;
- Representation by democratically elected members.

The following UN-HABITAT Partners can be grouped under Civil Society

Partners:

- NGOs – CBOs
- Trade Unions
- Professionals & Researchers
- Academies of Science and Engineering
- Human Solidarity Groups
- Women's Groups
- Youth

**NGOs-CBOs:** Non-Governmental Organizations (NGOs) are non-profit entities, whose members are citizens or associations of citizens of one or more countries, and whose activities are determined by the collective will, in response to the needs of the members of one or more communities with which the NGO co-operates. They can be international, regional, sub-regional, national, local or grassroots.

Community-based Organizations (CBOs) are the action-oriented operational grassroots organizations whose objectives are to assist in the actual key solutions to specific problems in the field. They may be in UN-HABITAT's technical co-operation programmes for the execution of field projects, particularly in the areas of training, provision of local information for planning and in implementation.

NGOs and CBOs contribute highly to urban settlement development since they:

- Are able to reach segments of the population that governments neglect or do not target as a priority;
- Possess extensive knowledge of local conditions;
- Are recognised for their role in developing new initiatives, new programmes, new approaches and new mechanisms to address development problems and issues based on their local knowledge

NGOs and CBOs can help to disseminate and support the principles of local democracy and to spread Habitat Agenda and MDGs concepts among civil society, can assist in the monitoring and reporting of development indicators, help formulate legislation and policy, provide feedback from civil society to other partners and maintain databases to connect skills with community on partners' needs. UN-HABITAT's major NGO and CBO umbrella partner is the Habitat International Coalition.

**Trade Unions:** Representing workers, Trade Unions have experience in addressing industrial change, give high priority to the protection of the working environment and the related natural environment, promote social responsibility and economic development. The existing network of collaboration among trade unions and their extensive membership provides important channels through which sustainable urbanization is promoted.

Trade Unions promote the roles and rights of workers and their organizations. In areas specific to UN-HABITAT's mandate they can work towards tapping the potential of the construction industry for economic growth and employment; as well as to train workers for housing development, city reconstruction and maintenance and to engage in environmental management activities related to the built environment.

**Professionals & Researchers:** Includes universities, research and scientific institutions and professional societies, academics and institutes. The main concern of this group is the advancement of new concepts, ideas or methodologies for sustainable urban planning and development.

The professional and academic organizations or institutions associated with UN-HABITAT are technically competent and organized for co-operation in operational areas of mutual concern. They concentrate on planning practices, which use mitigation as an instrument of participatory planning; they develop manuals of advanced planning practice documenting new and innovative practices; and promote the concept of "Adequate Shelter for All". Their work is mostly based on reports and studies, analysis and clarification of current pressing human settlement issues offering solutions. UN-HABITAT draws expertise from them, as well as leverage from the partnership, which includes supporting international efforts and facilitating the joint implementation of specific programmes and projects.

Academies of Science and Engineering: Cities are at crossroads at which science and technology have a crucial role, namely the responsibility for providing solutions and ensuring the long-term sustainability of cities and the ecosystem on which they depend. Academies of Science and Engineering contribute to solutions for education, training and capacity-building of local scientific and technical expertise; to developing a technically sound urban research agenda; and in establishing multi-disciplinary and multi-national research centres to ensure effective dissemination of scientific information and new engineering technologies.

Human Solidarity Groups: Sustainable development, which puts people at the centre of its concern, can be realized through human solidarity. Human Solidarity Groups contribute by promoting and encouraging civic engagement to resolve urban problems and support human solidarity and human values. They may be religion based but in all cases are motivated by ethical issues. They often overlap with CBOs and NGOs engaged in similar issues.

Women's Groups: The promotion of the role of women in the human settlements development is one of the objectives of UN-HABITAT. Effective implementation of sustainable urban development will depend on the active involvement of women in economic, social, and political decision-making. Women's Groups promote the right of women to land and housing, strengthen the exchange of information among each other, and lobby for special credit schemes for women living in poverty. 'Women' and 'Gender' are cross-cutting issues. The Huairou Commission has been UN-HABITAT's principle partner.

Youth: Youth are most affected by problems of rapid urbanization, homelessness, unemployment, crime, violence, drug abuse, and environmental degradation. Promoting the full potential of youth as key partners, through various forms of education, quality training and skill building; and taking into account the diverse abilities, realities and experiences of youth is essential for the long term success of achieving sustainable urbanization. Youth contributes by taking part in determining solutions and prioritizing issues on access to adequate shelter, and in addressing issues such as migration, crime, unemployment, and the protection of the environment. 'Youth' is a crosscutting issue by nature; all Habitat Agenda Partners are expected to deal with youth issues. Currently, UN-HABITAT is working through a Youth Advisory Board. It also has the Opportunities Fund for Youth-led Development which supports youth groups improve their income generating activities.

### **iii) Indigenous Peoples:**

Indigenous people living in urban areas constitute more than half of the indigenous population in many countries. This rate is on the increase due to variety of factors that lead to forced or involuntary movement from rural to urban areas. The situation of indigenous peoples in urban areas varies greatly: While some are able to adapt and improve their living conditions without loss of cultural identity; many are subject to discrimination, exclusion and violence. They are a cross-cutting group along with women and youth. Indigenous people have also been recognized as an important partner through the 2007 adoption by the UN General Assembly of the Declaration on the Rights of Indigenous People. UN-HABITAT has contributed to various UN fora and reports regarding indigenous people. The World Urban Forum has included roundtables for and by Indigenous People. This work needs to be more systemic and at a higher level.

### **iv) Parliamentarians:**

Parliamentarians represent the legislative body of societies. The main role of Parliamentarians as partners is facilitating legislation that supports human settlements development. They promote the drafting, revision and updating of legislation and the strengthening and reorganization of institutions and administrative structures. Furthermore, they participate in the formulation, implementation and evaluation of public policies at the local, national, regional and global levels. Parliamentarians also focus on the follow-up, assessment and evaluation of achievements.

[Global Parliamentarians on Habitat (GPH) has, since 1987, been supporting legislative change for sustainable urban development and adequate housing for all. GPH is a strong supporter of the Habitat Agenda and advocates better urban governance as a way of meeting the urgent needs of the urban poor.]

**v) Private Sector:**

The Private Sector has the responsibility for the sustainable and just development of societies. It is expected that the Private Sector promotes responsible corporate citizenship, adopts progressive environmental practices, and creates partnerships with other civil society actors. The private sector is urged to invest in social infrastructure, especially in education, training and health care, which could only benefit business by creating a more productive labor force. Concentrating on efforts to combat poverty and its social evils – such as urban strife, violence, insecurity and oppression – is expected at all levels. Since the absence of job opportunities is the first step towards poverty, one of the key functions of the private sector is to create job opportunities and encourage enterprises with the vision of eliminating. Currently, the major private sector partners is the Habitat Business Forum. Agreements of Cooperation also exist with individual private sector companies. Some prominent in their field such as BASF, Google, etc. These agreements normally cover specific time-limited joint projects.

**vi) Foundations:**

Foundations are autonomous organizations that have their own resources, particular interests, and sponsor programmes for the public good. The unique characteristic of the global community of foundations and corporate funders is that they seek to promote and facilitate compassionate and broad-based citizen involvement in the environments, in which citizens live and work.

Foundations are expected to set up an international task force to identify and implement an action plan to address issues of concern for the Habitat Agenda, at the national and trans-frontier levels.

**vii) Public Sector Corporations**

UN-HABITAT is currently working with many public sector corporations (parastatals) in its slum upgrading and water and sanitation programmes. These partners provide important contributions to these issues as they often the entities charges with the supply of services to the urban population in their respective countries. The National Water and Sewerage Corporation in Uganda and the Jabalhpur Municipal Corporation (JMC) in India are some examples.

**viii) Financial Institutions**

Local, regional and global financial institutions are quickly becoming some of UN-HABITAT most prominent partners. These include the World Bank and the African, Asian and Inter-American Development Banks among others. These partners are able to provide support especially in terms of follow-up investment to pilot projects designed by UN-HABITAT and in providing start-up capital to national and local financial institutions dealing with human settlements. UN-HABITAT is able to leverage its funds by working with international and regional financial institutions through joint promotion of public-private partnerships. Domestic banks and micro-finance institutions are also key partners as they assist UN-HABITAT and slum dwellers to access lower cost housing opportunities and longer term financing instruments.

## **Appendix 6: Current UN-HABITAT Legal Instruments for Developing Partnerships**

### i) Memorandum of Understanding

A Memorandum of Understanding (“MOU”) is a special legal instrument that should be used restrictively. MOUs are meant to be entered into with operational partners of the same or similar legal nature of that of UN-HABITAT, i.e., Governments, Local Authorities, Intergovernmental Organizations, organizations of the UN system (including UN Funds and Programmes and UN Specialized Agencies) and Financial Institutions.

MOUs are also conceived as umbrella agreements, could include legal and financial commitments, as well as provide an appropriate framework to formalize political intentions. MOU are normally tailor-made for each particular case.

### ii) Agreement of Cooperation

Since March 2003, Agreements of Cooperation have been used, updated and changed regularly, on a trial basis, with a view to replacing Grant Agreements. Agreements of Cooperation have been formalized in the recently published “Manual for Project and Programme Cycle Management” (June 2003).

The trial exercise for Agreements of Cooperation has proven to be successful, as the number of agreements has been, to the extent possible, minimized, and it has facilitated the move towards true partnership agreements with Habitat Agenda Partners, emphasizing the aspect of cooperation rather than the eventual provision of funds (that is now conceived as part of the responsibilities of one, or both, partner).

The model was conceived as an umbrella agreement on the basis of a Programme, but materialized in the implementation/cooperation of a particular Project or activity(ies). If the specific Project or activity(ies) change, an amendment/addendum to the same agreement should be enough (rather than another agreement), provided that the Programme, or area of operation, remains the same. The main document can be adjusted to a cooperation including provision of funds or not. Agreements maybe signed in the English, French or Spanish languages. Requests from partners to also sign agreements in a different language from those listed above may be granted if the partner is willing to prepare the translations at their cost and an additional clause is inserted in the main document of the agreement, at the last paragraph before the signature box, indicating that the English, French or Spanish version would prevail.

The General Conditions are the terms and conditions that are standard, should always be incorporated and are not meant to be changed. In the case certain of the conditions were not applicable to a particular cooperation, legal advice is required. If the change is acceptable, it should be addressed in the main body of the agreement (Article I), rather than changing the conditions themselves.

The Work Plan/Project Document should include an “Implementation Schedule”. It is the main reference to set out what is to be done, how and when. The schedule is meant to be the main operational monitoring tool to check whether the partner is satisfactorily performing according to schedule.

The Budget should include a “Payment Schedule”. The budget needs to reflect how much the “what” established in the work plan costs, broken down in budget lines that incorporate the cost of each output of Project or activity(ies), in accordance with the normal practice of the Organization. The schedule is meant to be the main financial monitoring tool to set out the number and amount of installments in which the total amount of funds may be disbursed (when the cooperation involves provision of funds), as well as the conditions under which and the estimated dates when installments may be disbursed.

### iii) Small-Scale Agreement

When the cooperation with an operational partner involves provision of funds by UN-HABITAT of US\$15,000 or less, a Small-Scale Agreement may be used.

The Small-Scale Agreement provides for a more simplified version of the Agreement of Cooperation and incorporates a more flexible internal procedure for approval and signature. This model should always be printed only in one page (two sides) and is not meant to be changed.

The selection of the operational partner under this instrument, however, should follow the same process and fulfill the same conditions as in the case of the Agreements of Cooperation.

iv) Letter of Intent

A Letter of Intent is designed to allow UN-HABITAT to enter into institutional relationships with any Habitat Agenda partners (whether operational at that moment or not) without legal or financial commitments. Although not properly an instrument for “operational partners”, it could facilitate an operational relationship and thus it is included in this Framework.

A Letter of Intent provides for a flexible instrument to serve a wide array of objectives: from strengthening institutional relations to being a point of entry before considering an operational relationship, through providing institutional backup for partners, formalizing political commitments, acknowledgements, etc. The sole condition attached to a Letter of Intent is that it should not incorporate legal or financial commitments by UN-HABITAT.

v) UN Cooperation

In the case of cooperation with UN entities, formalization may in the form of exchange of letters and MOU. This may also take the form of more elaborate projects or programmes, especially in the case of operational activities or global normative activities. UN-HABITAT’s former Global Urban Management Programme, which is what UN-HABITAT, the World Bank and UNDP created together, and which then became a model for subsequent agreements of a similar nature.

In preparing these instruments, legal advice is always available, but only required if deviations from the models are contemplated or if the relevant Director considers it appropriate or if the particular instrument requires being tailor-made.