



UNITED  
NATIONS

HSP

HSP/GC/23/INF/3

UN HABITAT

**Governing Council  
of the United Nations Human  
Settlements Programme**

Distr. General  
15 March 2011

English only

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**Twenty-third session**

Nairobi, 11–15 April 2011

Item 5 of the provisional agenda\*

**Activities of the United Nations Human Settlements Programme,  
including coordination matters**

## **Lessons learned from the review of the World Urban Forum**

### **Note by the secretariat**

1. In view of the expanding scale of the World Urban Forum, its growing importance to the mandate and work of the United Nations Human Settlements Programme (UN-Habitat) and the increasing engagement of Habitat Agenda partners in several aspects of the Forum, the Governing Council, by its resolution 22/10 of 3 April 2009, requested the Executive Director, in consultation with the Committee of Permanent Representatives, to carry out an early lessons-learned review of all previous sessions of the Forum with the aim of improving the planning, organization and effectiveness of future sessions. More specifically, the review was intended to provide recommendations related to the 12 items specified in the second paragraph of resolution 22/10.
2. The review was carried out by a senior consultant. Numerous UN-Habitat staff members, both in Nairobi and in the field, were interviewed, as were key partners, including several Permanent Representatives and Deputy Permanent Representatives. A results-based evaluation model was adopted for the review, facilitating the identification of the strengths and weaknesses of the first four sessions of the Forum. A draft of the review was presented to a working group of the Committee of Permanent Representatives on the Forum and was subsequently amended to incorporate the working group's views.
3. Several recommendations made in the review were taken into account in the preparations for the fifth session of the Forum, held in Rio de Janeiro, Brazil, from 22 to 26 March 2010.
4. The review is set out in the annex to the present note. It is intended to supplement the information provided in document HSP/GC/23/2/Add.3 and has been reproduced without formal editing.

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\* HSP/GC/23/1.

K1170943 170311

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**Annex**



**REVIEW OF THE WORLD URBAN FORUM  
SESSIONS 2002-2008**

Lessons learned from sessions of  
Nairobi, Barcelona, Vancouver and Nanjing

September 2009

### **Disclaimer**

This evaluation was undertaken by an external consultant, Dr. Nefise Bazoglu. The findings were shared with staff and the Committee of Permanent Representatives of UN-Habitat. The findings and conclusions remain those of the consultant, and do not necessarily reflect the official position of UN-Habitat.

## Acronyms

CHS	Commission for Human Settlements
DMP	Disaster Management Programme
DPR	Deputy Permanent Representative
GC	Governing Council
GLTN	Global Land Tools Network
GMP	Gender Mainstreaming Programme
GROOTS	Grassroots Organizations Operating in Sisterhood
GUO	Global Urban Observatory
ECOSOC	United Nations Economic and Social Council
HA	Habitat Agenda
HC	Huairou Commission
HPM	Habitat Programme Managers
ICRC	International Committee for Red Cross
IFUP	International Forum on Urban Poverty
HIS	International Housing Studies
ILO	International Labour Organization
LA	Latin America
LDC	Least Developed Countries
MDG	Millennium Development Goals
MEU	Monitoring and Evaluation Unit
MTSIP	Medium Term Strategic and Institutional Plan
NGO	Non-Governmental Organizations
PES	Participants Evaluation Survey
PSD	Programme Support Division
ROAAS	Regional Office for Africa and the Arab States
ROAP	Regional Office for Asia and Pacific
RTCD	Regional and Technical Cooperation Division
SIDA	Swedish International Development Agency
SSA	Sub-Saharan Africa
SWCR	State of the World's Cities Report
TCBB	Training and Capacity Building Branch
TOR	Terms of Reference
UCLG	United Cities and Local Governments
UEF	Urban Environment Forum
UN	United Nations
UNCHS	United Nations Centre for Human Settlements
UN-Habitat	United Nations Human Settlements Programme
UNHCR	United Nations High Commissioner for Refugees
UNICEF	United Nations Children Fund
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
WHO	World Health Organization
WPB	Work Programme and Budget
YPP	Youth and Partnership Programme

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## Executive Summary

This evaluation has been carried out in response to the resolution adopted by the Governing Council during its 22<sup>nd</sup> session in April 2009, GC/22/10. In view of the expanding scale and importance of the World Urban Forum (WUF), and the increasing engagement of the Habitat Agenda partners in the Forum, the Governing Council (GC) of the UN-Habitat decided that a review of all four WUF sessions held since 2002 should take place. The aim of the evaluation is to improve planning, organization and effectiveness of future WUFs. More specifically, the evaluation aims to assess and give recommendations related to the items as specified in the resolution GC/22/10, paragraph 2. These items are specified in the introduction chapter under the evaluation objectives and purpose section.

### (a) Timing between Governing Councils and sessions of the World Urban Forum

The time span between the GC and the WUF sessions is irregular. From one GC session to the next WUF session the minimum-maximum time interval varies between 12-19 months.

#### Recommendation:

The ideal period between GC and WUF sessions should be 12 months, allowing a fluctuation by only 2 months. In other words, the minimum and maximum periods between these sessions should not be less than 10 or more than 14 months. Priorities of the host country should not influence this periodicity.

### (b) Mobilization of adequate and predictable resources

The level of resource mobilization varied from session to session, but the underlying modality has been the same: mobilization has followed an ad hoc strategy. Resources were mostly mobilized from within the Agency for the first two sessions. For the last two WUF sessions, resource mobilization was carried out through one type of source, the host country.

#### Recommendations:

- (i) At least twelve months in advance, UN-Habitat should prepare WUF budget plans. The plan should spell out the core activities which are already funded and others which are not. The margin of last minute adjustments within plans should not exceed 20 percent. Based on this plan, the Secretariat should be more proactive in mobilization of resources through innovative mechanisms of funding, such as sponsorship from the private sector.
- (ii) Based on the consolidated plan, linking the WUF and the WPB, the CPR could advocate for special contributions to core WUF activities where there are funding gaps.
- (c) Consideration of specific provision within the United Nations Habitat and Human Settlements Foundation budget for activities related to the World Urban Forum

The use of the UN-Habitat and Human Settlements Foundation sources for implementing the WUF activities has shown a varying trend. The *de facto* share of the Foundation among total expenditures has been 100, 80, 20, and 40 percent for the first, second, third and fourth sessions, respectively. Over the years, a specific provision was made for the WUF, in order to cover for the staff involved in the organization and the coordination of WUF sessions, approximately USD250k and 350k for the third and fourth sessions. The Secretariat's use of Foundation sources was contingent upon the amount contributed by the host country.

#### Recommendation:

The Secretariat should prepare a consolidated plan and budget for WUF, identifying core activities linked to expected results that could be considered for Foundation funding. Since the Forum has become an important platform for UN-Habitat's work, it is reasonable to fund it from the general purpose contributions. Donors could also contribute special funds for WUF. PSD should devise a simple budgeting and reporting format which details the costs and budget sources of different

components of expenditure to the CPR in a transparent manner to facilitate communication on budgetary issues. UN-Habitat should make an estimation of minimum-maximum range of host country contribution from the onset. Depending on the share of the overall cost of the WUF the host country takes, it is proposed that a provision of USD one million to one and a half million US Dollars be made from the Foundation sources for each WUF.

**(d) Scale, inclusiveness and effectiveness of participation**

The scale of participation has increased almost exponentially between the first session in 2002 and the third session in 2006; from 1,200 in Nairobi to 4,389 in Barcelona and over 10,000 in Vancouver. The last session in 2008 there were 7,900 participants. In every session, close to half the participants were local.

The composition of participation by stakeholder types demonstrates that the Forum is evolving to be more inclusive and diverse. The share of national government partners reduced by almost one third within 8 years, from 36 to 13 percent in the first and fourth Sessions respectively. The Nanjing session also hosted a diverse set of government participants, Ministers of Environment and Finance. The share of local authorities and the research community increased from 9 to 23 and from 8 to 15 percent, respectively. The areas that require improvement are addressed in the recommendations.

**Recommendations:**

- (i) The tradition of using E-Forums prior to WUF sessions should be promoted. The Secretariat or the multi-partner Steering Committee should also consider a smaller scale E-Forum in order to enable access to current human settlements issues on the ground, to be used for the selection of themes and speakers.
- (ii) The organizers should be meticulous about improving the quality of sessions by: i) maintaining a balance between the new and familiar themes: 50 percent of themes should be new and 50 percent familiar; ii) using substantive considerations as a prime criteria for the selection of keynote speakers, allowing for a reasonable margin of political considerations; iii) holding moderators responsible to conduct lively sessions, adhering strictly to time limitations; and iv) the increased use of visual and artistic media – exhibitions, films, and drama.
- (iii) The Governments of Spain, France and Arab states could consider following the example of Russia and China by sponsoring the interpretation.

**(e) Strengthening participant preparations**

Albeit the more complicated nature of the WUF sessions, partner preparations are strengthening. The Secretariat and the host countries showed a high degree of flexibility and adaptability to cope with the ever increasing numbers of participants and the diversity of sessions.

The partners themselves are strengthening their respective preparations. At a number of Sub-Saharan African countries, National Habitat Forums have been established. The developed country delegations have also devised inclusive processes to better prepare for the WUF sessions. International stakeholder groups, women, and the research community also follow set processes for organizing themselves in a more results-oriented manner.

**Recommendation:**

National Habitat Forums should be promoted by the UN-Habitat. The establishment of the Regional Habitat Forums should be facilitated and supported by the Regional and Technical Cooperation Division in order to support the national initiatives to set up and operate the Forums.

**(f) Results-based-management-compatible evaluation process to ensure that specific objectives of the WUF relate to the UN-Habitat's Medium Term Strategic and Institutional Plan (MTSIP) and the biennial Work Programme and Budget (WPB)**

The WUF is a core activity of UN-Habitat, falling under the first focus area of the MTSIP: advocacy, monitoring and partnerships. Hence, there is a strong link between the objectives of the MTSIP and the WUF. There is an apparent link between the objectives of the WUF and the objectives of normative programmes. The link between the objectives of the operational programmes to the WUF is also strong. These linkages, however, lack results-based planning and indicators for performance tracking of the WUF.

**Recommendations:**

Plan future WUF sessions using an RBM model:

- a) The role of the Secretariat in WUF should be defined and its borders of influence clearly drawn.
- b) The expected results and success criteria should be clearly articulated using a RBM evaluation model (Figure 2), taking into account the MTSIP results-framework and the work programme and budget.
- c) Evaluability assessments of WUF plans should be carried out to ensure that WUF sessions can be monitored and evaluated effectively. The existing set of monitoring instruments need to be coupled with additional tools as necessary in order to evaluate the results over which UN-Habitat has influence.
- d) The concept of "results-based-management" should be put into practice, by developing an integrated monitoring and evaluation plan for the Secretariat's programmes, ensuring that 3 percent of the WUF budget is allocated for monitoring and evaluation.
- e) As the subsidiary body of the Governing Council, the CPR should ensure that: 1. linkages between the WUF and MTSIP are well articulated in plans, and 2. the results of WUF interventions are evaluated.

**(g) Location assessment including cost-benefit analysis**

In theory, location *does* make a difference, due to varying airline fares, daily subsistence allowance (DSA) needed for a particular city. The travel and accommodation cost (participants and of staff) constitute the biggest share among items of expenditures, 61%, 65%, 56%, and 77% of the total, respectively, for sessions in Nairobi, Barcelona, Vancouver, Nanjing.

**Recommendation:**

The host country selection criteria should include the cost effectiveness of location with regard to accommodation, daily subsistence allowance and travel and flexibility of conference facilities. Cost benefit analysis should take into account the share of staff travel costs. The number of staff traveling for sessions should be directly linked to their accountability to specific WUF results.

Political criteria also need to be considered in the choice of location. The governance mode of the host country/city should allow for the participation of all categories of Habitat Agenda partners. The administrative structure of the host country should be conducive to fast decision making both during the negotiation process and during the sessions.

**(h) World Urban Forum budget planning process and financial transparency**

The Secretariat has used an iterative planning strategy to better cope with the unpredictable funding. In general, the WUF organizers and staff are never sure if a fixed and consistent amount of funding would be provided for their core activities. Hence, the margin of flexibility has been too wide to be tolerated by the standards of any modern method of planning. Due to the lack of transparent planning instruments, activities appeared *ad hoc*, and lacked visible links to the overall work programme. (see recommendations under (b) and (c))

**(i) Timely negotiation of host country agreements**

The host country negotiations were successful for the third session of the Forum, WUF3, and reasonably successful for the second session. The negotiations with China was subject to a difficult process mainly due to different styles of communication, multiple layers of decision making at host country and the force majeure - earthquake.

Host country negotiations have not always started on a timely basis, because the Secretariat had limited offers to choose from. The UN legislative instrument, Host country agreement, has not been useful in the negotiation process, mainly because of the condition that the host country gives immunity to participants. The negotiating parties also suffered from ambiguity of roles and responsibilities of the UN, the host country and the third parties.

**Recommendation:**

- (i) The WUFs should be subjected to a hybrid form of an open-bidding-system, where the criteria of applying, and the conditions expected of the country/city are well articulated. The bidding is called "hybrid", because, being a UN conference, there will always be a need to consider the geographical and political dimensions, such as regional rotation. In order to synthesize geographical and functional considerations, the bidding for a certain WUF could be confined to a certain continent, rather than be open to all countries.
- (ii) The host-country negotiations should follow an institutional blue print with set criteria and the mapping of roles and responsibilities, as illustrated in Table 6.
- (iii) The checklist in Table 6 also attempts to define the role of the CPR as well as other parties. It is recommended that the CPR contributes from the substantive point of view, by advising on the proposed agenda of the WUF sessions. The CPR should play an advisory role on the budget planning for the WUF.

**(j) Timely submission and distribution of pre-session documents****Recommendation:**

The evaluation suggests that in accordance with the practices of the UN Conferences, the pre-session documents should be submitted 6 weeks before the event.

**(k) Need to strengthen UN-Habitat internal management process**

The management of the first WUF was strong and collective. The management of the subsequent two WUFs was carried out through steering committees. Following the third session, a small WUF Coordination Unit was established – an important step to strengthen the internal management of UN-Habitat. This unit is now too small in proportion to the assignment itself: a massive, multi-stakeholder and international meeting which requires a daily pace of client servicing, and effective internal coordination.

**Recommendations:**

- (i) The WUF team within the Secretariat needs to be strengthened. The GC and the WUF could be managed by different leaders, under the same Branch. An additional full time professional staff needs to be deployed, preferably proficient in both handling complex operations, as well as, authoritative in the field of human settlements programme. Through such a team, the missing link between the operational and substantive sections preparing for the WUF, perceptions of exclusion could be overcome.
- (ii) Consider establishing a multi-partner steering committee, representing the host country/city (four representatives), the Secretariat (one representative), NGO (one representative), professional/academic (one representative), and UCLG (one representative). Roles and responsibilities of each party would need to be defined. The role of this committee would need to go beyond the organization of the event to raise the performance bar, from the substance point of view.

- (iii) In view of the growing complexity of the Sessions and increasing number of staff engaged in preparations, a virtual follow up system should be developed. The main components of this system should include a *WUF Newsletter* that highlights major decisions taken during missions, and meetings, as well as the substantive arguments regarding the themes, and speakers. Division directors need to be more visible in the preparatory process and the MTSIP Steering Committee should also ensure that the WUF plans are linked to the MTSIP and the work programme.

#### **(l) Cooperation with Habitat Agenda partners**

Cooperation with Habitat Agenda partners has been quite successful from a number of aspects. There is a healthy diversity among partners organizing training and networking events. The NGOs and research organizations are among effective Habitat Agenda partners. The area of concern, however, is the declining participation of the UN, outside of UN-HABITAT.

#### **Recommendation:**

More energy should be devoted to engage the UN in the WUF. This could be possible through special efforts geared towards involving them more in the organization of events. As part of its routine programme, the Secretariat should have a close look in the UN's programmes that cater to the urban poor, and build long-term partnerships. As a platform for advocating urban development-related issues, the UN's effective participation in WUF sessions could be used as enhancing UN-Habitat's long-term partnership with the rest of the UN.

The evaluation concludes that the World Urban Forums have been successful. UN-Habitat functioned as a good incubator for WUF at large which has evolved to become an entity of its own. No doubt, the more meticulous and transparent planning process and a results-based-evaluation system, as recommended, will render the process more efficient and strengthen the effectiveness of future WUFs.

## **1. Introduction**

### **1.1 Evaluation objectives and purpose**

This evaluation has been carried out in response to the resolution adopted by the Governing Council during its 22<sup>nd</sup> session in April 2009, GC/22/10. In view of the expanding scale and importance of the World Urban Forum (WUF) and the increasing engagement of the Habitat Agenda partners in the Forum, the Governing Council (GC) of the UN-Habitat decided that a review of all four WUF sessions held since 2002 should take place.

The aim of the evaluation is to improve planning, organization and effectiveness of future WUFs. More specifically, the evaluation aims to assess and give recommendations related to the following items as specified in the resolution GC/22/10, para. 2:

- a) Timing between the Governing Council and WUF sessions
- b) Mobilization of adequate and predictable resources
- c) Consideration of specific provision within the UN-Habitat Foundation budget for activities related to the WUF
- d) Scale, inclusiveness and effectiveness of participation
- e) Strengthening participant preparation at all levels
- f) Results-based-evaluation process to ensure that specific objectives of WUF relate to the UN-Habitat Medium-Term Strategic and Institutional Plan and to the biennial Work Programme and Budget
- g) Location assessment, including cost-benefit analysis
- h) World Urban Forum budget planning processes and financial transparency
- i) Timely negotiation with host country
- j) Timely submission and distribution of pre-session documents
- k) Need to strengthen UN-Habitat internal management processes
- l) Cooperation with Habitat Agenda partners<sup>i</sup>

Of priority is to understand whether the WUF is relevant to, and aligned with UN-Habitat's mandates and work programme. Assessment of previous WUFs is being done in order to make recommendations to help identify the links between specific objectives of the WUF to the UN-Habitat Medium-Term Strategic and Institutional Plan (MTSIP) and the biennial Work Programme and Budget (WPB).

The findings and recommendations summarized in this document will be used by the Committee of the Permanent Representatives (CPR) in advising the Executive Director on future sessions of WUF. The evaluation will also be used by the UN-Habitat management, staff and relevant partners to improve planning and organization of future WUFs.

The terms of reference focuses on UN-Habitat's relationship with the WUF. It should be noted, however, that WUF remains a United Nations conference with many actors, and UN-Habitat has been given the mandate by the UN General Assembly to convene and drive its processes. Since the second session of WUF in Barcelona, multiple actors have been involved in preparing for and participating in the WUF. Therefore, the result of the WUF, at large, is attained by the collectivity of these efforts and the external dynamics. It is often difficult to single out the contribution of UN-Habitat from the contributions of other actors. Hence, results at outcome and impact levels cannot be attributed to UN-Habitat alone.

## 1.2 Background of the evaluated intervention

It is important to shed light on the unique place of the United Nations Human Settlements Programme (UN-Habitat) within the United Nations, in order to evaluate its relationship with the WUF. UN-Habitat was established in 1978 as the Centre for Human Settlements, subsequent to the UN World Conference on Human Settlements, Habitat I, held in Vancouver in 1976. Its mandate mainly shaped by the Vancouver Declaration, the Centre designed its programmes on addressing the land, shelter and infrastructure issues.

Two decades on, in 1996, the *Istanbul Declaration on Human Settlements* and the *Habitat Agenda* were developed during the Habitat II Conference. The document articulated the changes in the Agency's policies. This time, the mandate of the agency was further expanded to include issues of good governance, citizen participation, women's empowerment, urban poverty, security of tenure and others.

In accordance with the widening of its mandate the structure of the Agency also evolved. The Center went through a major transformation and was elevated from a Center to a Programme, United Nations Human Settlements Programme, in December 2001. Its main governing body the - Commission for Human Settlements - became the Governing Council, with its subsidiary body Committee of Permanent Representatives (CPR). These organizational changes also implied rising resource levels and the strengthening of its delivery machinery at the global and country levels.

The UN-Habitat also reinforced its presence in the Least Developed Countries (LDCs), through the deployment of a network of national staff – Habitat Programme Managers (HPM) - in selected countries of Africa, Asia and Latin America.

Forums have been the main outlet for the Agency's advocacy and knowledge management efforts from the beginning. In 1990s, the Center was organizing two major Forums: The Urban Environment Forum (UEF), jointly organized with United Nations Environment Programme (UNEP), and the International Forum on Urban Poverty (IFUP). The IFUP was born in 1996 and was held on a biennial basis. Five years on, in 2001, the Governing Council of the Agency requested its Executive Director to promote a merger of these two Forums with a view to strengthening the coordination of international support to the implementation of the Habitat Agenda. This was the process by which WUF was instituted.

Since 2002, when the Forum was established, four sessions have been held. The first session of WUF was held in Nairobi, Kenya, in February 2002. The second session was held in Barcelona, Spain, in September 2004. The third session was held in Vancouver, Canada, in June 2006, while the forth session was held in Nanjing, China, in November 2008.

## 1.3 The context: the objectives, functions and reporting of WUF

The General Assembly defined the nature of the WUF as the “non-legislative technical forum in which experts exchange views and advise UN-Habitat on issues of shelter and sustainable urbanization”.<sup>11</sup> The WUF is advisory and does not have direct policy formulation mandate. The main recipients of the advice are the Executive Director of the Secretariat and the Governing Council of the UN-Habitat. Main objectives of the WUF include the following:

- To facilitate exchange of experiences and advancement of collective knowledge among cities and their development partners
- To place strong emphasis on the participation of Habitat Agenda partners and relevant international programmes, Funds and UN Agencies with the intent of ensuring their inclusion in the identification of new issues, the sharing of lessons learned and the exchange of best practices and good policies
- To identify overlaps and synergies, and to cooperate and coordinate among development agencies in the implementation of the Habitat Agenda, the Declaration on Cities and other Human Settlements related goals of Millennium Development Goals (MDGs)
- In the context of the UN-Habitat's MTSIP 2008-13, and as outlined in focus area 1: Advocacy, Monitoring and Partnerships, WUF is an advocacy and normative debate activity to contribute to mobilizing a broad constituency of support for sustainable urbanization.<sup>iii</sup>

The WUF's *raison d'être* is different from the Governing Council (GC). While the GC revolves around Member State delegations, the WUF is open to the public. The GC resolutions are binding, whereas the ideas expressed in the WUF, and the documentation disseminated, do not have any legislative mandate. In theory, the WUF should allow for the expression of innovative ideas and recommendations, no matter how extreme they might be. The WUF participant is expected to be stimulated and transformed through the process and the WUF organizers are expected to facilitate this transformation by enabling provocative dialogue sessions and debates.

The WUF is a global event of the UN bringing about coordination and support for addressing urban issues. As such, the WUF carries out a universal function by bringing together the global urban development and human settlements partners, the grassroots of the urban poor, the youth, and other stakeholders – something which existed for decades on the issues of economy, social and cultural dynamics, under the umbrella of the World Economic Forum, World Social Forum, World Cultural Forum, respectively. Hence, aside from the incubator's role played effectively by UN-Habitat, for WUF in general, the Forum also has an identity of its own.

The WUF processes and results have been documented in four types of reports:

- (i) The official UN report is a descriptive tool focusing on the contents of dialogues, the noteworthy views of key speakers and panelists, and the linkages of the session outputs with the biennial work programmes;
- (ii) The Executive Director's Report on the Activities of UN-Habitat elaborates on the links between the activities of the Agency and the WUF;
- (ii) A more reader-friendly information type of documents, Reports of WUF Sessions, delves further into substantive issues presented and debated;
- (iii) The Participants Evaluation Report of WUF assesses aspects of the Forum: the composition of stakeholders, the client satisfaction levels with different Forum activities and the logistics. This report is based on the data collected through the participants evaluation survey (PES).

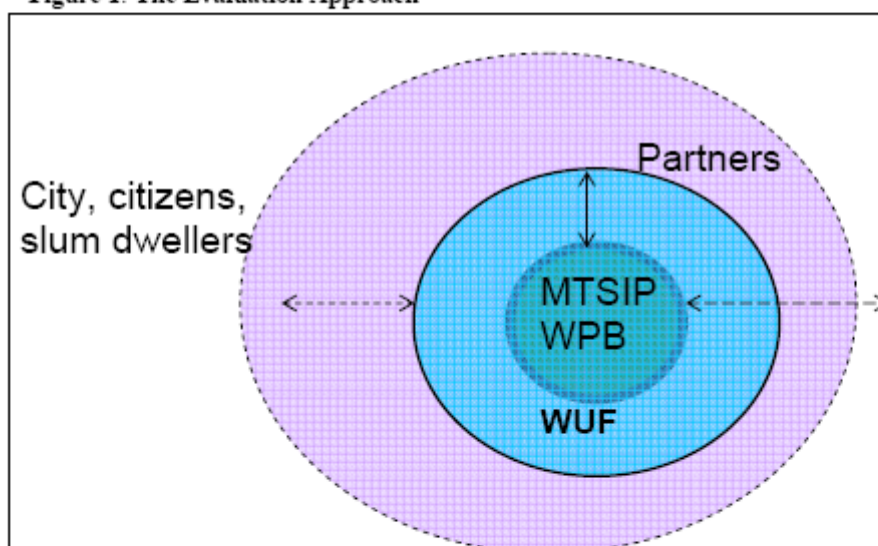
## 2. Evaluation approach and methodology

### 2.1 Theoretical model

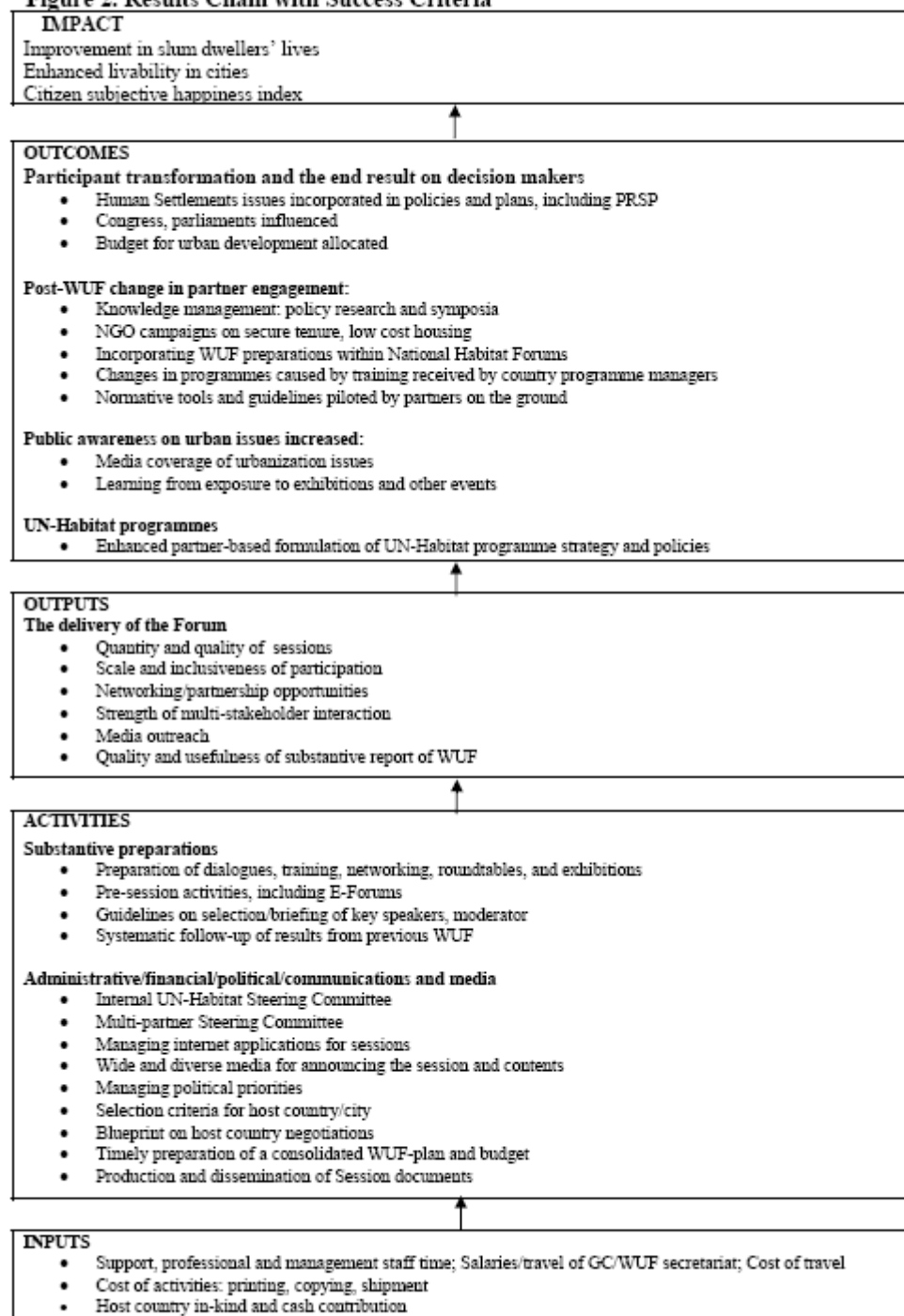
The theoretical model illustrated with Figure 1, assumes that WUF could have a potential and direct influence on the immediate circle of partners - civil society, UN, local authorities, managers and staff of technical ministries, research community and others. With the present construct, the outcomes of WUF can only be traced up to partners and institutions. These partners, in turn, are expected to influence the policies, plans, budgets, and strategies which directly affect people's lives in urban areas and lead to sustainable urbanization. Therefore, the intervention's influence is exercised indirectly via intermediary actors – Habitat Agenda partners.

Ideally, the results-based-framework of evaluation sets out to track changes occurring at the outermost layer, the people. Arguably, impact of the Programme and WUF could be traced, in the long run, to the outermost layer of influence provided that a more elaborate monitoring and evaluation system is implemented by the individual programmes within the Agency. Such methods will be covered under the relevant sections.

Figure 1: The Evaluation Approach



Prior to the review process, the consultant had to construct an evaluation frame. Figure 2 illustrates this evaluation frame and articulates clearly defined connections between inputs, activities, outputs, outcomes and impact. Such a results chain could guide the evaluation process.

**Figure 2. Results Chain with Success Criteria**

With inputs, the set of activities produce the output, WUF. The discussion on activities centres around efficiency. The output is a high-quality WUF where participants are exposed to diverse and effective learning experiences. The quality of the WUF determines, to a wide extent, the transformation of the participant which motivates him/her to boost programmes, policies, training, guidelines, and as such the effectiveness of WUF.

Outcome is the *de facto* transformation of participants. For example, if an academician enlarges her scope of research or changes the course syllabus after the WUF, it is regarded as a change brought by the intervention. Or, if the ministry officials attending WUFs take the initiative to hold symposia regarding housing finance, with the hope of instituting a system, that is also considered as an outcome.

The impact level results are not as revealing and specific as that of outcomes. These indicators pertain to the improvement in the lives of slum dwellers, livability of cities, and the subjective happiness level of urban inhabitants. It should be noted, however, that measuring these indicators is not included in the evaluation. Such success criteria are still mentioned to complete the results chain.

The Evaluation Frame is a theoretical construct. The logic of the Frame is built upon the assumption of a cause and effect relationship where activities determine outputs, which determine the outcomes, which again determine the impact. It should be noted that the Evaluation Frame is simply a systematic presentation of sequences. However, there is an interplay between all levels, and the direction of change is not linear. Inputs, no matter how big and efficient, may not always lead to activities. Activities may also be influenced by political determinants rather than efficient and effective ways of providing inputs. The output may not be shaped entirely by activities, but by external factors like the virtues or vices of conference facilities.

## 2.2 Methodology

In order to establish links between the different elements of the Frame, a combination of qualitative and quantitative techniques were applied. The qualitative tools consist of interview checklists with the CPR members, the HPM checklists for focus group interviews, the partners' checklists, and the Secretariat staff unstructured interviews (Annex II).

Qualitative tools embraced a package of remote and face-to-face interviews, as well as the open-ended questionnaires and checklists. For the face-to-face interviews, although checklists were distributed to respondents to serve as a point of reference, the interviews did not necessarily follow a structure. According to the interview dynamics, other topics could also be covered. Alternatively, some interviewees also became sounding boards or conduits for the verification of findings.

The partners were consulted through a meeting setting, or through face-to-face interviews or telephone interviews. Habitat Programme Managers (HPM) of the Sub-Saharan Africa (SSA), Latin American and the Asia Pacific Regional Offices were sent checklists in order to reflect the experience of their country delegations. But the responses from Latin American and Asian HPMS were nil. In addition, questionnaires were sent to a selected number of stakeholders groups, local authorities, research communities, expert networks. For stakeholder groups accessible in Nairobi, focus group interviews were held. Youth

groups are among such partners. Albeit anecdotal, these tools provided very rich information on the outcomes that the respondents attributed to the WUF.

Quantitative techniques were also employed in the area of costing and finances. With help from the PSD the existing financial records were subjected to secondary analysis, in order to reflect a more revealing budget reporting system than the standard format of the UN-Secretariat. In addition, in order to arrive at a more realistic estimation of costs, time-use analysis was done with the cooperation of mid-level managers who were given a time-use sheet to be filled in by the staff of their respective teams. Because this study coincided with the annual leave season, some of these managers were not found to coordinate the gathering of time use data from their staff. As a result, data was collected only from 55 per cent of staff, 133 people for the WUF 4 session in Nanjing. Due to issues of memory lapse, the response rate for the Vancouver session was low, 20 percent. Third, the databases available at the Secretariat – participant evaluation survey (PES), Training and Networking events, participants' database and media clippings - were subjected to further analysis.

Finally, a desk review based on strategy documents prepared by certain sections, workplans, and all reports on, and related to, WUFs, including evaluation reports from other agencies, was carried out. The Annexes contain all the tools used for analysis, detailed tables, and list the interviewees and respondents.

## 2.3 Limitations

The readers of this report are cautioned to take note of the limitations under which this evaluation was carried out. First, was the absence of clear objectives and performance measures, and as such a results-based-monitoring and evaluation system - *ex ante* evaluation - serving as a reference for the *ex post facto* evaluation. In order to fill the gap the consultant also mapped out the evaluation log-frame which put additional pressure on the already restricted time span for the evaluation.

The tasks of the consultant were underestimated. The magnitude of the task was only understood when further analysis on databases were carried out. Limited analysis had been conducted of these databases, with the exception of the PES. Hence, data analysis required a period far beyond what was earlier envisaged. In addition, it should also be indicated that the timing of the evaluation was not ideal for data gathering. Many respondents were on vacation.

### 3. Evaluation findings, discussion and recommendations

In this section, discussion and recommendations on specific areas of the GC resolution are presented. However, they do not follow the same order as outlined in resolution GC/22/10 para 2 because of the need to bring together those items that are related.

#### 3.1 Results-based evaluation process to ensure that specific objectives of the WUF relate to the UN-Habitat MTSIP and Work Programme and Budget (WPB)

The methodology section has outlined a results-based evaluation model that if refined, can be utilized for future WUFs. This section presents a discussion of the relevance of WUF as a platform for UN-Habitat to deliver its MTSIP through the WPB using a results-based approach.

The WUF has become a think-tank on urbanization relevant to the UN-Habitat. The review of the Work Programme and Budget, and MTSIP's focus areas, and interviews with the Secretariat and some partners, provide convincing links to the WUF. Especially, MTSIP's focus area one – evidence based advocacy – is sufficient to establish a logical link between the WUF and the priorities of UN-Habitat. Arguably, advocacy could be carried out in many other ways, than holding a WUF every other year. Yet, provided that the forums are successful, they tend to be among the most effective tool of promoting sustainable urban development. The effectiveness emerges from the big opportunities for mobilizing diverse constituencies and drawing media attention. These meetings also empower the civil society *vis-à-vis* their central governments, by legitimizing their follow up efforts to the WUF within their local settings.

Furthermore, the unique partner-based nature of UN-Habitat activities renders such meetings relevant, in strengthening the catalytic role of the Agency in bringing together all types of stakeholders and providing a forum of free exchange of ideas and best practices.

Being located in Nairobi, UN-Habitat is far removed from the core knowledge management milieu – the Headquarters of the UN and of other multilateral agencies – where most development ideas and paradigms are produced and challenged. UN-Habitat's policies and programmes, the paradigms behind its corporate mandate are hardly subject to peer review and scrutiny. The WUFs provide expose to the wider world of development thinkers and managers, and enable the Human Settlements Programme to stand scientific scrutiny, on the collection of knowledge management efforts, at the global stage.

Another reason why WUFs are relevant for UN-Habitat's programmes is that it is a small Agency, mostly engaged in normative work as opposed to big multilateral agencies with vast human and financial resources and notable country presence. Platforms like WUFs serve as a major outlet for the Agency to convey its normative contributions and to learn from its partners.

The time-use study among staff showed that close to 60 percent of the preparation time devoted to WUF in Nanjing, also fed into the Work Programme activities (Table 2). This finding strengthens the argument that WUF-related activities are relevant to the programme activities.

#### Normative programmes and WUF

The link between the Work Programme of the normative work of the agency, and the WUFs is fairly straightforward. The *Global Report on Human Settlements* and the *State of the World's Cities Report* are amply featured during WUFs, since 2004 (Barcelona). The latter report is especially prepared as the overarching knowledge management basis for WUF discussions.

The *State of the World's Cities*, a major activity featured during the forum, is a key part of the WPB and the MTSIP. Starting with the WUF2, themes of the report have been in harmony with the forum topics. The report, and the overall establishment and updating of the monitoring system packaged with it, is part of the first focus area of the MTSIP.

Thanks to the experience building up from the first four Forums and to the direction of the Governing Council, the Secretariat is managing activities related to the WUF5 so as to be better aligned with the results based management approach, while striving to establish thematic links with the MTSIP and the WPB. In addition to the Monitoring and Research Division (MRD), most programmes of the Global Division, specifically the Shelter, Urban Development as well as the Training and Capacity Building Branches have largely been in line with WUF.

Another type of benefit that WUFs add to the programme is to mobilize some partners for piloting the Habitat tools. For example, the GLTN's guidelines are now piloted by the Huairou Commission, in Brazil, Ghana and Sri Lanka, thanks to the previous WUFs. The forthcoming WUFs 2010 and 2012 will provide the opportunity to review the lessons learned from these pilots, and hopefully revise the tools and scale up the application of the tools to other sites.

#### Operational programmes and WUF

Arguably, WUF may not have the same synergy with the operational programmes of the agency. According UN-Habitat staff, WUF provided a favorable medium whereby, even operational programmes could build up their evidence-based advocacy instruments, and perfect the design of their policies and strategies. Since such operational programmes work through partners, both the GCs and the WUFs constituted good conduits for staff to have in-depth and face-to-face discourse with their partners on the formulation of their policies and strategies. For example, the next WUF in Rio de Janeiro will provide a platform for fine-tuning the monitoring system of the Disaster Management Programme.

#### Strengthened partnerships

One major common benefit of the WUFs, for programmes, is to have new partners on board. The Disaster Management Programme acquired a significant branch of the ICRC as a new partner; and the Global Land Tools Network established a partnership with the Caribbean stakeholders.

The other benefit of the WUFs is to hold side meetings with development partners to follow up on fundraising meetings; on existing or new projects, with experts and the UN and the Bretton Woods agencies. Sometimes, side meetings are held with country partners, such as the Directors of Housing, who often challenge the Secretariat on its statistical findings. Such dialogues provide the Secretariat a chance to explain its methodology to partners, or revise them. In conclusion, the objectives of WUFs and objectives of the MTSIP and WPB are related.

## Discussion

The problem is not the lack of linkages between the MTSIP and the WPB, but the lack of a results-based planning, monitoring and evaluation system to support analysis of these linkages. This gap is not only because of technical reasons but also because of the ambiguous role of the Secretariat in the WUF. Lack of clearly defined expected accomplishments and indicators of achievement, areas of accountability with clear roles and responsibilities makes a results-based monitoring and evaluation process of the WUF difficult. Many stakeholders, including some staff and managers of the Secretariat, see the WUFs as an open free-standing event – a platform offered to all partners, therefore, to be organized *with the partners* and *for the partners*. When formulated as such, the specific contribution of UN-Habitat to outcomes is very difficult to track. Other partners, such as SIDA, are able to measure the effectiveness of their presence by defining *their* boundaries of accountability.

Measuring the role of UN-Habitat in WUF presents a methodological challenge. Although UN-Habitat recognizes its role as that of a catalyst, it represents two limitations. First, the Secretariat's role for the last four forums went beyond a catalytic involvement. The first Forum was organized entirely by the Secretariat, while in the following sessions the Secretariat was in charge of organizing the dialogues, including several training and networking events. In the subsequent Forums, host-country and partner involvement and dynamics started gaining more prominence. However, UN-Habitat *did* have a major influence over the WUF. It just was not clearly defined. Several managers consider this ambiguity as positive and conducive to a productive debate. While the Secretariat could not be held accountable for the totality of the WUF (Figure 3), which is increasingly shaped by other stakeholders, there is a domain over which the Secretariat does have full control: the dialogues and events it holds jointly with other partners, and the overall preparations done jointly with the host country.

### Recommendation 1:

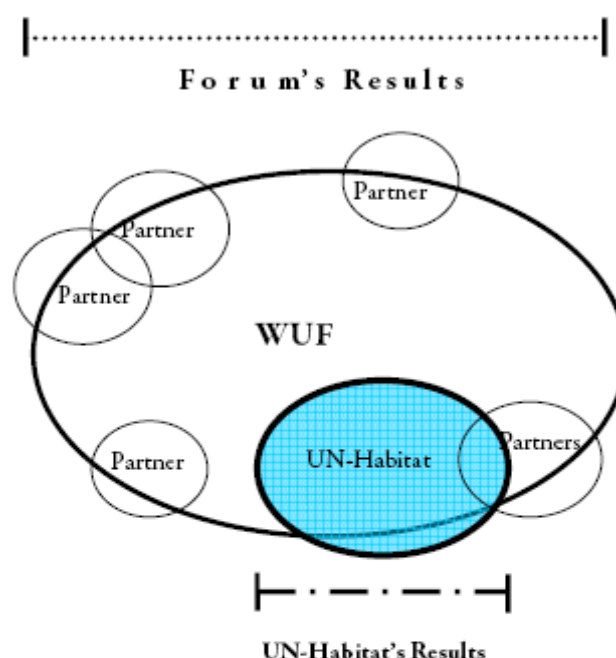
Plan future WUF sessions using an RBM model:

- a) The role of the Secretariat in WUF should be defined and its borders of influence clearly drawn.
- b) The expected results and success criteria should be clearly articulated (Figure 2), taking into account the MTSIP results-framework and the work programme and budget.
- c) Evaluability assessments of WUF plans should be carried out to ensure that WUF sessions can be monitored and evaluated effectively. The existing set of monitoring instruments need to be coupled with additional tools as necessary in order to evaluate the results over which UN-Habitat has influence.
- d) As the subsidiary body of the Governing Council the CPR should ensure that: 1. linkages between the WUF and MTSIP are well articulated in plans and, 2. the results of WUF interventions are evaluated.

The area over which UN-Habitat could be held accountable is illustrated in Figure 3. The figure is developed to assist further evaluation efforts of future WUFs. This chart only partially solves the problem of evaluating the expected results, because by its nature, the involvement of the Secretariat within the Forum will not be as clearly defined as that of other partners, for example, SIDA.

In order to monitor the results of the Secretariat's work, and its linkage to the MTSIP and the WPB, the agency's visibility should be in proportion with the role it plays before/during and after the forums. For example, the SWCR, the main thematic knowledge basis of the forum, should be presented and stand to scrutiny, in as wide and as visible a platform as possible.

Figure 3: UN-Habitat's niche within WUF



### 3.2 Consideration of specific provision within the UN-Habitat Foundation budget for activities related to the WUF

A costing analysis for all past WUFs by sources of funding and type was conducted to establish the contribution of UN-Habitat (Table 1). The assessment covers only the entries from the UN-Habitat and the host government contributions. It should be noted that the costs incurred by third parties, such as donors directly sponsoring NGO participation and other types of sponsorships, remain largely unknown.

Table 1: Costs of WUFs, by source of funding, USD ('000s)

Source	Nairobi	Barcelona	Vancouver	Nanjing
Host country	-	129 (20%)	2,742 (80%)	1,205 (60%)
UN-Habitat Foundation	414 (100%)	505 (80%)	701 (20%)	836 (40%)
Total	414 (100%)	634 (100%)	3,443 (100%)	2,041 (100%)

Source: UN-Habitat, Programme Support Division (PSD) database.

Steady increase from UN-Habitat's Foundation sources, and fluctuating trend of host country contribution

UN-Habitat's contribution to the forums follows a gradual trend of increase, by twofold, from USD 414 to USD 836, between 2002 and 2008. The country inputs, on the other hand, seem to follow a fluctuating trend. For the second WUF in Barcelona, it starts with a modest \$130 k, and increases to more than twenty-fold for the following forum in Vancouver, 2.7 million. The contributions plunges down to 1.2 million, for the last WUF, Nanjing. The fluctuating trend jeopardizes the overall planning of WUF, as discussed in the budget planning section.

With respect to the relative share of the Foundation sources, an interesting trend can be observed. UN-Habitat *did* play its role as a catalyst and incubator for the first two forums, as it fully sponsored the Nairobi session. The majority of financial inputs for the Barcelona session also came from the Foundation sources. The share of the Agency reduced in for the session in Vancouver due to the big amount of resources contributed by the Canadian government but increased again in 2008, due the reduced host country contribution for WUF4. These trends also address GC/22/10/para2. item c's concerns. It is evident that the *de facto* tendency is to draw from the Foundation sources, in the event that host country contributions are too low.

The host country contributions, excluding the staff time, amount to 60 percent of the overall budget for Nanjing, and 80 percent for Vancouver. No doubt, other parties spent amounts that are unknown to this review. However, in order to make a more realistic estimate of UN-Habitat's contributions, a time-use analysis was carried out. The time of professional staff, by weeks, was divided into two categories: time exclusively spent on the preparations for, and participation in, the WUF as well as the professional time that serves two purposes: both the WUF, and the WPB and the MTSIP. The data collected was analyzed and converted into cash value. The result is seen in Table 2.

**Table 2:** Value of staff time by, "only-WUF preparations" and "synergistic activities for WUF and the Work Programme" (USD '000s)

WUF sessions	Only WUF preparations	WUF/Work Programme	Total Staff time
Nanjing	946 (42%)	1,245 (58%)	2,291 (100%)
Vancouver	540 (46%)	681 (54%)	1,221 (100%)

Source: UN-Habitat, Programme Support Division (PSD) database.

Accordingly, in Nanjing, the staff contribution amounts to, at least one third of the total contributions, if not more. Had the response rate been higher, the share of staff contribution would have been higher. The grand total row in Table 3 could only be completed if third parties also contribute to the cost analysis.

Table 3: Invisible contributions to WUFs, staff time/third party USD ('000s)

Source	Vancouver	Nanjing
Staff time (WUF only)	540 (14%)	946 (32%)
Host country & Foundation	3,443 (86%)	2,041 (68%)
TOTAL	3,983 (100%)	2,987 (100%)
Host country in-kind and third parties	Conference facilities & media marketing	Conference facilities
GRAND TOTAL	-	-

Source: UN-Habitat, Programme Support Division (PSD) database.

## Discussion

The budget monitoring and reporting system utilized by the UN Secretariat puts the UN-Habitat's Secretariat at a disadvantage. As reading these financial reports is very difficult for the layperson, the questions of oversight asked by the governing body remain unanswered. This in turn, leads to doubts over the financial transparency of the operation. In addition, the financial software the Secretariat uses does not produce reports which reflect the current standing of accounts. Although, for this review, post facto analysis was possible, often questions of the governing body remains unanswered due to this technical factor.

In order to consider a specific provision within the UN-Habitat's Foundation budget for activities related to the WUF, the Agency should be able to predict the contribution from the host country. The fact that host country contributions are so variable makes the organization of the WUF difficult.

The overall cost of the WUF cannot be estimated by the Secretariat alone, as two ingredients are missing. One is the complete staff input; the other is all expenditures covered by third parties. These include the direct sponsoring of participants, especially LDC, local authorities and civil society members by the donors, the expenditure from the budget of governments, local authorities, NGOs and academic institutions of the developed world.

In order to provide a ballpoint figure on the amount of the specific provision from the Foundation the linkages between the recommendations should be considered. Depending on which recommendations are implemented, the specific amount of the provision could either be USD 1 million, or USD 1.5 million.

- a. If Recommendation 1 (Monitoring and Evaluation of WUF sessions) and Recommendation 10 (strengthening the WUF Coordination Unit by recruiting a P4 level staff member) is endorsed, then the specific provision from the Foundation should be USD 1 million.
- b. If the Secretariat becomes responsible of the media marketing, and the shipment of exhibition materials (Recommendation 9, Table 5), then the specific provision from the Foundation sources should reach up to USD 1.5 million.

**Recommendation 2:**

The Secretariat should prepare a consolidated plan and budget for WUF, identifying core activities linked to expected results that could be considered for Foundation funding. Since the Forum has become an important platform for UN-Habitat's work, it is reasonable to fund it from the general purpose contributions. Donors could also contribute special funds for WUF. PSD should devise a simple budgeting and reporting format which details the costs and budget sources of different components of expenditure to the CPR in a transparent manner to facilitate communication on budgetary issues. UN-Habitat should make an estimation of minimum-maximum range of host country contribution from the onset.

Depending on which recommendations are implemented, the specific amount of the provision could either be USD 1 million, or USD 1.5 million.

**3.3. Location assessment including a cost-benefit analysis**

Expenditures on activities (Table 4) vary substantially, USD138k in Nanjing and USD1,284k in Vancouver - almost a tenfold difference. This is accounted for by two factors: a) unit prices for Vancouver was higher for shipment of documents, and exhibitions; and b) the Chinese government did not pay for the shipment of exhibition materials from Nairobi.

Table 4: Cost of WUFs, by travel, other activities, staff cost USD ('000's)

WUF	Activities	Staff	Travel partners	Travel staff	Total
Nairobi	163 (39%)	-	238 (58%)	13 (3%)	414 (100%)
Barcelona	225 (25%)	-	213 (34%)	196 (31%)	634(100%)
Vancouver	1,284 (37%)	248 (7%)	1,029 (30%)	880 (26%)	3,443(100%)
Nanjing	138 (7%)	325 (16%)	862 (42%)	716 (35%)	2,041(100%)

Source: UN-Habitat, Programme Support Division (PSD) database.

Travel costs for participants sponsored by the Agency and for staff combined, constitute the biggest share among items of expenditures, 61 percent (Nairobi), 65 percent (Barcelona), 56 percent (Vancouver), and 77 percent (Nanjing) of total cost. Travel costs for partners and staff are similar, with the exception of the first session, they range between 26-42 percent, cost of staff travel slightly lower than participant travel. Unit cost per staff and participant travel cannot be estimated in view of the given limitations.

Table 5: Per capita cost of travel by staff and by participants

WUF session	Cost of staff travel (US\$)	Cost of participant (US\$)
Vancouver, 2006	5300	3800
Nanjing, 2008	5500	3300

Source: UN-Habitat, Programme Support Division (PSD) database.

The estimation of staff and participant travel indicates that the cost of participant travel is considerably lower than staff travel. It should be noted, however, that the confidence interval for participant travel could be quite wide. The PSD calculated these cost figures,

based on the travel authorization files available at the Headquarters alone, as it did not have access to travels that were authorized through the UNDP offices remain at the country level.

In theory, location affects the overall cost of WUF, due to varying airline fares, daily subsistence allowance (DSA) needed for a particular city. In practice, however, the picture is not that clear. As a rule, a high portion of participants will have to travel regardless of the location of the sessions. When two types of travel, partners and staff, are combined, the difference between the two destinations farthest away from the settlements on or close to the Greenwich Mean Time zone, Vancouver and Nanjing, is not very substantial. The total travel cost to Nanjing was US\$331k cheaper than to Vancouver.

Nairobi is the only location where staff travel costs could be minimized. In this case, it could be assumed that travel costs would be cut by, approximately, half. Hence, in the first analysis, it seems possible to save between \$200-880k, the respective staff travel costs for Barcelona and Vancouver, in the event that WUFs are held at the Headquarters, Nairobi. It is assumed in this estimation that cost of partner travel is more or less within the range of WUFs 2 and 4.

From the standpoint of the Agency, holding sessions *outside* Nairobi is cheaper, because conference facilities – responsibility of the host government – seem to be the most expensive contribution. With two of the major UN-Headquarters based in Nairobi, the government of Kenya is unlikely to assume the role of the “host country”. The relationship between the overall cost and the location of the sessions also depend on the host country agreement.

#### **Recommendation 3:**

The host country selection criteria should include the cost effectiveness of location with regard to accommodation, daily subsistence allowance and travel and flexibility of conference facilities. Cost benefit analysis should take into account the share of staff travel costs. The number of staff traveling for sessions should be directly linked to their accountability to specific WUF results.

Political criteria also need to be considered in the selection of location. The governance mode of the host country/city should allow for the participation of all types of Habitat Agenda partners. The administrative mode of the host country should be conducive to fast decision making both during the negotiation process and during the sessions.

### **3.4. Mobilization of adequate and predictable resources**

Since the Foundation sources are limited, UN-Habitat tapped into the funding sources of donor countries through the CPR for the overall organization of the last WUF session. The CPR demanded a transparent plan from the onset, instead of a series of piece-meal requests for certain activities spread over a long period.

This process was especially difficult for the Nanjing WUF session, when it was realized that the host government contribution was far lower than was expected. On the other hand the resource mobilization for the specialized sessions - training, networking, seminars - was less cathartic. Those programmes which already benefited from sufficient earmarked

funding planned their activities accordingly. The Global Land Tools Network provides a good example for this.

Other programmes with limited earmarked sources, such as the Gender Mainstreaming Programme (GMP), Youth and Partners Programme (YPP), and Training and Capacity Building Branch, seized the opportunity of the WUF to carry out their activities. WUF sessions allowed them to piggyback on the existing ingredients for implementing activities which would otherwise remain unfunded. These ingredients include:

- The venue (nearly half the participants already present),
- Conference structure prepared,
- Opportunity for wider exposure and interaction, in addition to the motivation boosted by feeling part of a much bigger universe of stakeholders: namely, the global community of urban development experts, decision makers and the civil society.

To illustrate, the GMP was able to bring together over 150 participants whose travel and accommodation was sponsored, mainly via bilateral donors, for its training sessions during Vancouver and Nanjing WUFs. The scant budget of the GMP was spent only on resource persons, and staff travel.

It is a common opinion among UN-Habitat professional staff that it is much easier to find sponsors when activities are piggybacked on the WUFs. In effect, for such programmes, WUF sessions become a source of resource mobilization for their activities.

### Discussion

Most problems related to resource mobilization emerge from two structural features of the organization: (i) an iterative planning tradition which is largely non-participatory and non-transparent and, (ii) low levels of non-earmarked Foundation sources.

There is room for improvement in enlarging the scope of mobilization of resources through non-conventional channels and sponsorships from non-traditional donors such as the private sector. WUF sessions provide a conducive environment for finding sponsors who can both gain visibility and contribute to activities.

The Agency's planning tools prevent it from providing a results-based planning document where objectives of the WUF activities and the objectives of the main planning instruments, MTSIP and the WPB are strongly connected. Outcomes and the impact of certain activities are not communicated well. The lack of such a planning document creates a hazy environment on the objectives of the Secretariat.

### Recommendation 4:

At least twelve months in advance, UN-Habitat should prepare WUF budget plans as outlined in Recommendation 2. The plan should spell out the core activities which are already funded and others which are not. The margin of last minute adjustments within plans should not exceed 20 percent. Based on this plan, the Secretariat should be more proactive in mobilization of resources through innovative mechanisms of funding, such as sponsorship from the private sector.

**Recommendation 5:**

Based on the consolidated plan (Recommendation 2), linking the WUF and the WPB, the CPR could advocate for special contributions to core WUF activities where there are funding gaps.

**3.5 WUF planning process and financial transparency**

The multitude of ‘unknowns’ also reflected in the WUF planning process. The Secretariat, both at the leadership, and programme level had to manage a chronic state of uncertainty at many fronts.

The planning for the overall coordination and organization of the sessions has been affected by three main problems. The first problem was structural to the agency: low levels of the non-earmarked Foundation sources. This was a major planning constraint, not only for the Coordination Unit, but also for the Press and Media and the Information Services sections. For the last WUF session, the former did not plan for media marketing, the latter could not ship the exhibition material, due to the fact that the host country did not fund these activities.

The second constraint came from the host countries. With the exception of the third WUF session, the amount and the timing of contributions expected from the host country remained unknown until the last months. Issues as such not only affected the overall planning of the Forum, but also the programme aspects. A number of programme managers could not plan due to the uncertainty of funding.

Third, the MTSIP’s emphasis on results-based-management, although repeated in all documents, has not been effectively put into practice. In general, the programmes spell out monitoring indicators in their plans, but do not budget for their monitoring and evaluation activities. As a result, the managers are not able to show tangible outcomes produced by their programmes which would have helped them raise further funding.

**Recommendation 6:**

The concept of “results-based-management” should be put into practice, by developing an integrated monitoring and evaluation plan for the Secretariat’s programmes, ensuring that 3 percent of the WUF budget is allocated for monitoring and evaluation.

**3.6 Timely submission of pre-session documents**

The pre-session documents are aimed for two target groups: the CPR and the public in general. There is room for improvement in the submission of the pre-session documents to the CPR on a timely basis. The tentative nature of plans and lack of coordination between different substantive sections of the Secretariat accounts for the delayed submission of pre-session documents.

The dissemination of pre-session documents through the website was satisfactory. Yet, Information Services Section (ISS) notes that substantial delays occurred in posting summaries of key documents, the global flagship reports, regional reports and other information documents to the Session web site.

**Recommendation 7:**

The evaluation suggests that in accordance with the practices of the UN Conferences, the pre-session documents should be submitted 6 weeks before the event.

**3.7 Host country negotiations**

In view of the fact that WUF 2 was the first session for which a negotiation process was managed with a host country/city, the results achieved for the Barcelona session was also reasonably successful. The management of host country negotiations for WUF 3 was rated as the most successful.

The negotiations with China went through a difficult process although in the end, WUF 4 was considered successful. The main factor underlying the difficulties with Nanjing was the unfamiliarity with the Chinese culture of communication and the multiple layers of consultations required for decision making. Above these came the extraordinary external conditions that affected both the negotiators and the leadership cadres at different levels: the earthquake, the Olympics and other externalities. All these combined, WUF 4 came to the brink of a crisis, which was very well managed by the top manager of the Agency, the Executive Director, who made a firm statement on her commitment, by spending nearly a month in China, expressing her empathy to the disaster victims, and the leaders, as well as supporting the preparation of the WUF.

**Discussion**

Host country negotiations have not always started on a timely basis because the Secretariat had limited offers to choose from. The strategy of rotating the WUFs in different regions is politically adequate. The negotiations with the countries have rarely been subject to official agreements. The UN Host Country Agreement, whose conditions were mostly unacceptable for many governments, has not been very helpful.

Negotiations have followed a rolling process, with the exception of the WUF3. Contributions expected from the host country were asked in an incremental manner, rather than upfront, at the beginning of preparations. The negotiating parties were not sure of the roles and responsibilities of the UN, the host country and third parties.

Another challenge, for the future WUFs, is the lack of clarity of eligibility criteria for the potential host countries. For example, the Government of Turkey which appealed to the Secretariat to host the 2010 WUF in Izmir was rejected. When they wanted to know the criteria so as to prepare for the future WUFs, they did not receive an answer. A similar pattern was also valid for the Government of Mexico.

The forums have evolved to become big events, too complicated to organize, but also very much in demand. Cognizant of this, already, a number of countries have started expressing interest in hosting it. Although the past experience of host country negotiations will be useful, time is ripe for UN-Habitat to initiate a radical change in its approach to the negotiation process. To date, UN-Habitat has relied on the generosity of the host country as there was hardly any competition. The UN-Habitat should capitalize on the demand, in order to strengthen its capacity both financially, and logistically. It should also advocate and lobby for more than one host country.

**Recommendation 8:**

The WUFs should be subjected to a hybrid form of an open-bidding-system, where the criteria of applying, and the conditions expected of the country/city are well articulated. The bidding is called “hybrid”, because, being a UN conference, there will always be a need to consider the geographical and political dimensions, such as regional rotation. In order to synthesize geographical and functional considerations, the bidding to a certain WUF could be confined to a certain continent, rather than be open to all countries. Using the selection criteria, the selection of the Host Country/City should be done in a transparent manner. Negotiations with the host country should commence as soon as the selection is made.

The main conditions required from the host country should embrace the following:

- Conference facilities to encompass big audiences, but also diverse forms of small/big meeting places and coffee shops, as most small meetings occur there.
- Funding interpretation during dialogues for, at least two UN languages, and the local language
- Cultural activities
- Logistics
- Funding an optimal level of participants
- Funding media marketing
- Banking systems operating on global financial regulations
- Strong communication infrastructure and broadband connections

**Recommendation 9:**

The host-country negotiations should follow an institutional blue print with set criteria and the mapping of roles and responsibilities. The checklist in Table 5 should be emulated by the Secretariat, in order to guide the managers.

Table 6: Checklist for assisting the host country negotiation process

Activity definition	Host country/city	UN-Habitat	CPR	Others
Advocating for multiple hosts		√		
Overall organization, development of agenda, etc.	√	√		Selected experts/NGOs
Ensure linkages to MTSIP&WPB		√	√	
Review the proposed agenda and advise the ED of UN-Habitat			√	
Advise on financial set up & resource mobilization			√	
Liaison with and briefing to CPR		√		
Assist dissemination of information to (and within) countries		√ (HPM)	√	
Media coverage preparations		√		
Media Campaign	√			
Staff participation	√	√		
LDC participation	√		√	
NGO participation			√	Bilateral/ Multilateral Agency
Identification of participants	√	√		Hab. Regional off.
Issuing of visas	√			
Activities	√	√	√	√
Logistics	√			
Registration	√			
Negotiation on hotel/rest rates	√			
Free public transportation	√			
Security		√		
Interpretation (min. two UN languages)	√			
Interpretation (Russian/Chinese)				Russia/China
Translation of documents		√		
Preparation of venue	√			
Entertainment (reception, shows)	√	√		
Emergency health interventions	√			
Thematic/substantive preparations	√	√	√	√
Selection and invitation of key speakers/moderators, debaters, for dialogues	√	√		
Follow up with and the thorough briefing of speakers	√	√		
Organizing pre-event Jams on internet	√			
Shipment of exhibition material	√			
Follow up w/ WUF recommendations			√	
Ensure WUF is systematically evaluated			√	

### 3.8 Strengthening of UN-Habitat's internal management

In terms of internal management processes leading to WUFs, the Nairobi session stands as the most participatory, when all professional staff were included in the preparations, and made themselves familiar with each other's background papers. CPR was also in the picture on a periodical basis. The leadership shown by the DED of the time brought all parties together and encouraged face-to-face interactions. The GC Secretariat within the Agency was fully involved in these meetings, by helping to tie substantive aspects to the big picture. This was a good management model under the circumstances. The organization was smaller, with programmes that were less complex, a smaller WUF, and there was no need for host country negotiations.

A similar model was also followed during the Barcelona WUF with one difference, host country negotiations. Right after Vancouver, when the scale of the event went beyond expectations, the GC Secretariat was strengthened by the establishment of the WUF Coordination Unit, funded by a steady Foundation source.

#### Discussion

A less-than-ideal coordination of WUF processes between different entities of the Secretariat, created a feeling of alienation at different levels. It was noted that the sections involved in the operations and communications could not follow the activities of the substantive sections. On the other hand, the managers and professional staff who did not belong to the Division in charge of substantive preparations felt excluded. Apart from bringing dysfunction to the overall organization of the WUF, such lack of coordination could also affect stakeholders outside of the Agency. One point of concern for the CPR members was the fact that their inquiries remained unanswered. This is mainly because of the insular style in which each team worked. Hence, when questions were raised, the staff present in CPR meetings did not want to reply on behalf other teams who were not present in meetings.

Some of these problems have structural roots. Mostly overburdened by addressing the diverse issues of multiple stakeholders by trouble shooting on managerial and operational matters, the small team servicing the GC and the WUF, can not afford to respond to demands of substantive nature. There can be two consequences resulting from insufficient professional capacity to service big, multi-stakeholder operations: i) in order to be able to cater to all demands coming to the team, the staff burns out and can become dysfunctional; ii) if all client demands are not catered to, the queries, applications and requests can remain unanswered.

#### Recommendation 10:

The WUF team within the Secretariat needs to be strengthened. The GC and the WUF could be managed by different leaders, under the same Branch. An additional full time professional staff needs to be deployed, preferably proficient in both handling complex operations, as well as, authoritative in the field of human settlements programme. Through such a team, the missing link between the operational and substantive sections preparing for the WUF, perceptions of exclusion could be overcome.

#### Recommendation 11:

Consider establishing a multi-partner steering committee, representing the host country/city (four representatives), the Secretariat (one representative), NGO (one

representative), professional/academic, (one representative), and UCLG (one representative). Roles and responsibilities of each party would need to be defined. The role of this committee would need to go beyond the organization of the event to raise the performance bar, from the substance point of view.

#### **Recommendation 12:**

In view of the growing complexity of the Sessions and increasing number of staff engaged in preparations, a virtual follow up system should be developed. The main components of this system should include a *WUF Newsletter* that highlights major decisions taken during missions, and meetings, as well as the substantive arguments regarding the themes, and speakers. Division directors need to be more visible in the preparatory process and the MTSIP Steering Committee should also ensure that the WUF plans are linked to the MTSIP and the work programme.

### **3.9 Strengthening of participant preparations**

Albeit the more complicated nature of the Sessions, partner preparations are improving, as different sections of the Agency demonstrate an impressive degree of flexibility and adaptability. For example, the Press and Media Section found more elaborate ways to engage the press. The Information Services Section developed a combination of automated and manual system in order to better manage participant applications reaching nearly 12,000 people, in Nanjing. Each and every section learned from their experiences and improved the subsequent WUFs. Those programmes which already collaborated with their networks, Local Authorities, Private Sector, to name a few, were effective in preparing their partners for productive sessions.

The preparation of partners themselves is becoming more structured and systematic. National Urban Forums in a number of countries have been established as an outcome (refer to section on Outcomes) of the previous WUF sessions, in a number of Sub-Saharan African countries. Delegations from developed countries - Sweden, USA and Canada - are following a preparatory process in order to be more results-based, and to engage wider constituencies.

The role of the CPR is multifold. First, as stated in Recommendation 1, it should ensure that meaningful linkages exist between the MTSIP/WPB, and the WUF sessions. The CPR could contribute from the substantive point of view by advising on the proposed agenda. The CPR also plays an advisory role on the budget planning process for the WUF. The role of the CPR is also to ensure that the lessons learned from previous WUFs are institutionalized by the Secretariat and that the performance of sessions are reviewed.

#### **Discussion**

The developing countries that have taken the initiative to set up Habitat National Forums have done so, as a spontaneous outcome of their attendance in the previous sessions, with or without support or advocacy from the Un-Habitat itself.

#### **Recommendation 13:**

National Urban Forums should be promoted by the UN-Habitat. The establishment of the Regional Urban Forums should be facilitated and supported by the Regional and Technical Cooperation Division in order to support the national initiatives to set up and operate the Forums.

### 3.10 Cooperation with Habitat Agenda Partners

Cooperation with Habitat Agenda partners has been quite successful from a number of aspects. On training events and special sessions, UN-Habitat's is increasingly becoming successful in holding joint activities with diverse partners, mostly NGOs and research organizations. Of the 66 networking and special sessions held in Nanjing, 52 are held jointly, although some of these are solo preparations by the UN-HABITAT, where partners are invited as speakers, etc.

The quantity of training, organized by other partners, the research agencies and universities, and other UN agencies has risen with an impressive upwards curve (Table 6). This shows that more and more partners see the WUF as a good opportunity to piggyback their trainings on.

Of the events that were organized by non-UN agencies, the Secretariat staff played a role, not necessarily in terms of co-organization, but of advocacy, and encouraging partners to hold activities in particular areas.

**Table 7: Training sessions by type of partner**

Partnership	Nanjing	Vancouver	Barcelona
UN-HABITAT alone	3	1	1
UN-HABITAT /non-UN	1 (Cohre)	2	
Other UN agencies	7	3	3 (UNDP/UNDP&NGO)
Non-UN alone	12 (research)	2 (ITC/CMRC)	2 (NGO/USHUD)
UN-HABITAT & other UN	0	1 (UNITAR)	0
<b>Total</b>	<b>23</b>	<b>9</b>	<b>6</b>

Source: UN-Habitat TCBB database.

The training and networking events and special seminars point to a very successful cooperation with the research and academic community and the NGOs. The Secretariat staff and managers also cooperated closely with the local authorities, ministers, private sector, in the process of organizing the roundtables.

### Discussion

#### *Less than desirable level of UN participation*

Of real concern to the organizers is the declining participation of the UN, apart from UN-Habitat. The Human Settlements Programme does not have sufficient evidence to show that other UN agencies, its strategic partners, are attracted by the WUF. Except for the first and second WUFs, in Nairobi and Barcelona, where the UN staff constituted 8 percent of the participants, it fell to 5 and 2 percent, respectively during Vancouver and Nanjing WUFs.<sup>iv</sup> The UN entities attending the WUFs, with the exception of Barcelona, where Jeffrey Sachs addressed the Forum, are composed mostly of professional staff, not top managers that shape corporate policies.

Among the challenges raised by UNEP, was the metamorphosis of UNEP and UN-Habitat partnership, dating back almost decades, to the days of Urban Environment Forum.

Partnerships started at the inception period of the joint intervention, and agencies had equal roles in:

- Deciding upon themes
- Speakers
- Joint funding

The training sessions as well as networking and Habitat seminars were reviewed. It was found that, only one joint session, of the total 38, was implemented as a joint UN-Habitat and UNITAR, in Barcelona during WUF 3. Unsurprisingly, the same is also true for the networking and special sessions. In Nanjing, of the 66 special and networking sessions, one was implemented jointly with a UN partner. This was a missed opportunity for those UN Programmes and Funds which *do* have interventions that address the question of the urban poor and the slum dwellers, such as UNICEF and ILO.

*Representation of the business community in WUF:*

UN-Habitat made considerable progress in bringing the private sector on board. About 13 percent of the participants for the third session of WUF in Vancouver, was from the private sector. Over one hundred participants attended the roundtable, some of whom have continued to collaborate with UN-Habitat on a longer term basis. Although a similar trend was maintained in fourth session of WUF in Nanjing, It was not possible to hold the business community roundtable because the host country restricted the number of roundtables. Given the important role of the business community in urban development, a special meeting was held with the representatives of the private sector, subsequent to WUF 4, in New Delhi. It is understood by all parties, the CPR and the Secretariat, that this was an anomaly, and that the activities revolving around the private sector will be an indispensable part of the future WUF sessions.

**Recommendation 14:**

More energy should be devoted to engage the UN in the WUF. This could be possible through special efforts geared towards involving them more in the organization of events. As part of its routine programme, the Secretariat should have a close look in the UN's programmes that cater to the urban poor, and build long-term partnerships. As a platform for advocating urban development-related issues, the UN's effective participation in WUF sessions could be used for enhancing UN-Habitat's long-term partnership with the rest of the UN.

### **3.11 Timing between Governing Councils and Sessions of the World Urban Forum**

In theory, WUF is convened by the UN-Habitat, every even year, and the Governing Council, every odd year. Thus, an annual rhythm for holding each milestone meeting is ideal. The rationale behind a spacing of 12 months is to allow for a sufficient preparation period. Most important reason is to permit the GC to consider the advice given by the recent WUF.

The actual time intervals between the sessions occurred in a different way. Although the GCs took place approximately as planned, the WUF sessions were either too far apart from, or too close to each other and to the GC. Hence, very little time was left for the GC

to consider the advice of the WUF sessions for policy formulation or too long to be effectively linked to GC activities.

**Table 8: Timetables of WUF and GC: 2001 – 2010**

Period	Dates		Interval (months)	
	GC	WUF	GC-WUF	WUF-GC
2001-2002	16-21 February 2001	29 April – 3 May 2002	14	12
2003-2004	5-9 May 2003	13-17 September 2004	16	7
2005-2006	4-8 April 2005	19-23 June 2006	13.5	10
2007-2008	16-20 April 2007	3-6 November 2008	19	5
2009-2010	30 March - 2 April 2009	22-26 March 2010	11	13
2010-2011	11-15 April 2011			

The pattern seen in Table 7 shows that from one GC session to the next WUF session the minimum-maximum time interval varies between 12-19 months. However, from one WUF session to the next GC session it is much shorter: 5-12 months. If the time span between the sessions of GC and WUF is over 14 months, then the next interval becomes, inevitably, too short. This is what occurred between the second WUF session in Barcelona, and the GC's 20<sup>th</sup> session. There was only 7 months between the two major gatherings. The time span was more constrained between GC 21 and WUF4 and between WUF4 and GC 22. The spacing between these meetings was 19 months and 5 months: one too long, the other too short.

## Discussion

Such an irregular pattern of time intervals between sessions stands against the advice of all schools of planning. A spacing of 5 or 6.7 months between two major meetings is not only unrealistic, but also unfair to the Secretariat team in charge of preparing both milestone meetings. In view of the fact that immediately after the WUF session the winding up process continues for a couple of months, it leaves only 3-4 months to prepare for another major meeting.

There were suggestions that the frequency of WUF sessions could be changed but the majority of respondents believed that a biennial frequency is appropriate. Habitat Agenda partners already picked up the biennial rhythm of the WUF sessions, as described in the section on 'participant preparations'. The national multi-stakeholder preparations themselves are important in giving a jolt to the urban development community within countries.

Other teams within the Secretariat are also affected by this irregularity as they lack the sufficient time to do WUF-to-WUF follow up on actions and ideas. Most importantly, they do not have the time to service the Governing Council sessions in the formulation of new resolutions synthesized from WUF's advice.

**Recommendation 15:**

The ideal period between GC and WUF sessions should be 12 months, allowing a fluctuation by only 2 months. In other words the minimum and maximum period between these sessions should not be less than 10 or more than 14 months. Priorities of the host country should not influence this periodicity

**3.12 Scale, inclusiveness and effectiveness of participation***Scale of participation*

With some modest scale of 1,200 participants to the first session of WUF, Nairobi, the numbers of participants reached over 4,000 and 10,000 people at the second and third sessions of the WUF, respectively. The situation at WUF4 disturbed the tendency of WUF sessions to attract an ever-increasing number of participants. The number of participants reached 7,900 people, despite the vast number of applicants, numbering at 12,000.

Although numbers alone may not have a direct relationship with quality, nevertheless, this vast interest shows that the WUFs are on the way to establishing themselves as the world's urban development platform for debate and discussions on the most pressing urbanization issues.

Feedback from questionnaires to the HPM reflect the experience of the Sub-Saharan African delegations, NGOs from developed countries and other delegation also indicate that the gathering of so many people in one venue provided opportunities for networking and partnership.

*Inclusiveness and effectiveness of participation*

The composition of participation by stakeholder types demonstrates that the Forum is evolving to be more inclusive. The share of national government partners reduced by almost one-third within 8 years, from 36 to 13 percent, shows that WUF is moving in the direction intended – embracing a diverse set of stakeholders over and above the national government actors. The last forum also hosted different types of government participants, Ministers of Environment and Finance, in addition to the long time partners, the Ministers of Housing and Urban Affairs.

Another indicator for increasing inclusiveness is the close to threefold increase of the participants from local authorities, from 9 to 23 percent. The research community also follows an increasing trend by approximately double-fold attendance, from 8 to 15 percent, within a period of 8 years.

The interaction of the global and local actors is one of the impressive aspects of the WUF. Participation from the host country is generally impressive: approximately 50% throughout, all the four sessions of WUF.

*Pre-session E-Forums*

The third session of the WUF was the most effective, in broadening the scale and by strengthening the inclusiveness and effectiveness of participation because a three-day electronic forum, Habitat Jam, was held seven months before the session. This experience has received highly favorable assessments. It is also understood from the Huairou Commission's (HC) evaluation, "Grassroots Women's Participation in Habitat Jam", slum and village women from the remote settlements of Latin America, Asia and Africa, talked

with each other for three days, without necessarily going to WUF, Vancouver, before the forum started.

*Being able to exchange “lessons learned” was the key merit of the Jam: “one organization from Women and Habitat Network in Latin America communicated through a chat room translator with a GROOTS Canada member... who offered to support the Latin American (LA) group on battling environmental struggles in their neighborhood in Cordoba, Argentina (...) The most basic success was for grassroots women never exposed to anything remotely international, to participate in a global activity, to have this kind of experience. A coordinator from Montevideo, Uruguay, commented that the women saw that they shared problems with other women, such as the problem of living at a far distance from basic services. The participants recognized the gravity of problems in other places, for example, the African women must walk kilometers through the desert in order to bring water to their homes”.*

Some key informants also indicated that this was a cost-and-time-effective tool for enabling participation, relieving the participant from queuing for visas, waiting at airports, etc. Without doubt, such an efficient way of virtual “jamming” is environmentally sustainable.

It is also indicated that the WUFs constitute a periodic opportunity for meeting, networking and training for the academics and researchers from different schools. Most important among those are centers of excellence like the International Housing Studies (IHS), the Netherlands, the Lund University, Sweden, Development Planning Unit, University College London, and others. Embracing a wide alumni network from the developing, especially the least developed countries, these centers use the WUFs as a training opportunity as well as for networking.

Most respondents were pleased, especially by meeting the professionals in their field, as a first step for potential future partnerships. A respondent from a USA-based NGO indicated that three sessions of WUFs, Barcelona, Vancouver and Nanjing, enabled her to “know what others are doing and meet professionals in the field”. The professionals interviewed from the Global Urban Development network also noted that experts and consultants made myriad business contacts with governments, local authorities and NGOs.

Among many others, one particular session could be singled out as a good case of “sharing with others what we are doing”. A session organized by the NGO, Peoples’ Dialogue of Ghana, showcased a positive model of local and national government collaboration. It is important to know that this session went beyond the expression of development clichés (such as “decentralization is a necessary element of good governance” – a repeated message at the dialogues of every four WUF sessions) and took up a specific challenge of *implementing* decentralization effectively.

The Participant Evaluation Reports on the past four WUFs also indicate that, in quantitative terms, the overall client satisfaction level from sessions appear to be on the high side – approximately 80 percent.<sup>vi</sup> What participants appreciated most were sessions or activities that provided opportunities for learning and building social networks and partnerships. They thought that the training sessions and seminars were useful in enhancing learning; while networking sessions and roundtables were useful for strengthening their social ties and building partnerships for future work. In addition, roundtables for stakeholder groups strengthened peer exchange. A majority of respondents emphasized that exhibitions were very useful for the wider public.

## Discussion

### Quality

The qualitative remarks made and suggestions given by respondents to the WUF Participants Evaluation Questionnaire provide a concise list of areas that need improvement. The overall impression was that the quality of dialogues was determined by political considerations and by host country dynamics, a syndrome felt most acutely in Nanjing. Mostly dominated by politicians and dignitaries, the dialogues were like monologues. The speakers came with pre-prepared speeches that were not necessarily related to the overall theme. Since dialogues attract the biggest crowds it is a missed opportunity to formulate very official and stiff sessions devoted mainly to dignitaries, who are not well briefed in advance. The same applies to the quality and the style of the opening and closing sessions on which both interviews, and MEU's survey reveal the same finding: the audience found these sessions "much too long", in all WUF sessions except the Nairobi session in 2002.

Another finding on what affects the effectiveness of sessions was the feeling of *fatigue from hearing the same people say the same things*. A substantial number of interviewees from the CPR, the Secretariat, research partners and one national government partner expressed this. According to them, the speakers in dialogues tended to keep to familiar themes and make familiar statements that are so general, that no one in the audience could disagree with. Such speeches do not create a stimulating learning environment. The purpose of WUFs is to hear and debate fresh approaches regardless of how provocative they may be.

In his questionnaire, a high profile African leader said: "I had no problem with the manner in which the messages were conveyed [during the fourth session in Nanjing]. Maybe more shock therapy is needed especially in getting developing countries, particularly in Africa, to focus less on politics per se and more on service delivery which knows no boundaries whatsoever."

Most respondents concede also that modes of communication beyond speeches and presentations - such as visual arts, drama, films and games - were not used often enough. Perhaps the "shock-therapy" referred to earlier.

### Less than desired level of new partnerships and cross-partner interaction

Without question, the WUFs have also been affected by the negative features of any global meeting: selective sponsorship of participants, and repetitive interaction with familiar partners from the same stakeholder groups. Some youth participants in Vancouver stated that the networking with new partners, during forums, did not necessarily translate into functional, durable partnerships in implementing joint projects or programmes. In their view, programme tended to fall back on the comfort zone of dealing with familiar partners whose ways are already predictable. The overall observation was that the youth interacted with youth, the women with women, local authorities within themselves, and so on.

### Insufficient interpretation as a barrier to communication and participation

What also restrict impact are technical and linguistic factors, a common problem of any other international meeting. For all types of participants, perhaps with the exception of academicians and the UN staff, language poses a barrier on getting results in two ways: Unable to afford interpretation/translation in all UN languages, often those participants, who could make impact, cannot fully be engaged within the WUFs. The only way around this problem is found by the pragmatic approach of the Russians and the Chinese whose

governments pay for the interpretation. Such opportunity does not exist for Spanish and French speaking participants.

The second type of exclusion due to communication barrier belongs to indigenous or local languages. The evaluation of the Habitat Jam indicates, for example, that except for the Canada-organized sessions, where interpretation was provided during the jam sessions, communication was a major constraint.

**Recommendation 16:**

The tradition of using E-Forums prior to WUF sessions should be promoted. The Secretariat or the multi-partner Steering Committee should also consider a smaller scale E-Forum in order to enable access to current human settlements issues on the ground, to be used for the selection of themes and speakers.

**Recommendation 17:**

The organizers should be meticulous about improving the quality of sessions by: i) maintaining a balance between the new and familiar themes: 50 percent of themes should be new and 50 percent familiar; ii) using substantive considerations as a prime criteria for the selection of key note speakers, allowing for a reasonable margin of political considerations; iii) holding moderators responsible to conduct lively sessions, adhering strictly to time limitations; (The Secretariat should develop terms of reference for moderators) ; and iv) the increased use of visual and artistic media – exhibitions, films, and drama.

**Recommendation 18:**

The Governments of Spanish and Arabic speaking countries as well as the Francophone countries could consider following the example of Russia and China by sponsoring the interpretation.

#### **4. Preliminary outcomes from the WUF**

This section includes a number of examples of the usefulness of WUF. It aims to address the question often asked “What tangible results come out of WUF?” The report is far from claiming that these results apply to all participants. It is possible that the majority of participants just “listened” or did not even attend the sessions. That these examples of transformation could only apply for a minority of participants does not reduce the value of the results. In general, making a difference on a small number of people could be sufficient to bring about change.

In the evaluation jargon outcome pertains to the immediate or short term result (effect) of the intervention on the participants themselves, or their areas of influence. In this section outcome will be approached from two angles: the results achieved by partners and the public’s exposure to the critical importance of human settlements issues. The findings on partners are based on a number of tools summarized in the section on methodology.

##### National Government Counterparts

##### Establishment of National Urban Forums

Through the key informant interview, this review sought to obtain examples of the tangible outcomes, which go beyond generic answers given such as “exchange of ideas”, “benefit from best practices”, “eye opener”, to describe participants’ own Forum

experience. An interview with ROAAS provided concrete answers to the question of what happened as a result of exchange/exposure/learning/stimulation. The manager of the ROASS indicated that, in the SSA, the global Forum is now being replicated at the country level, via the National Urban Forums functioning in Senegal, Rwanda, Malawi and Namibia. Malawi was the first one to establish its forum, after the 2004 Forum in Barcelona. Another such initiative in the SSA, Nigeria, is in the pipeline, already trying to cope with overwhelming registration to the national forum. Hence, one of the positive and unintended impacts of the WUFs has been to serve as an instrument in the revival of the Habitat National Committees.

#### Formation of multi-stakeholder networks in the developed world

After a number of participation experience in the WUF, some developed country delegations have expanded their partnership so as to better prepare for sessions. For example, the United States Government and NGO counterparts have been working together to prepare for WUF 5. A similar trend is noted in Canada and Sweden.

#### Policy and programme initiatives

The Sub-Saharan Africa delegations that consisted mostly of the government counterparts, local authorities and the civil society reported on a number of policy initiatives after attendance in WUF sessions. One such notable government action taken after the WUFs, include Zambia, with the government taking leadership in the preparation of the Cities Alliance country programme, following WUF4, Nanjing. The government partners also widened their circles of networking and broadening from the country to the global level, by attending international training sessions and conferences.

National counterparts for Ghana also reported that after the WUF3 session in Vancouver, the National Housing Policy was revised to add a slum upgrading and prevention component which is considered a direct result of participating in the WUF. The Ghana delegation to Nanjing was impressed by the way China manages its urbanization positively.

Change of policies among the developed countries is best illustrated by the Swedish International Development Agency's (SIDA) evaluation report. Subsequent to the Barcelona and Vancouver sessions, the urban programme of the agency received a jolt, by using their WUF audiences in Barcelona as a sounding board to get feedback on their expanded and more comprehensive urban policy.<sup>vii</sup>

An important step towards policy change occurred in Liberia. Subsequent to the Nanjing visit, the Liberian delegation ensured that the Poverty Reduction Strategy Paper for the country included issues discussed during sessions: local governance capacity building, land management and administration, national housing policy development. If more countries do this, one significant goal of the Human Settlements Programme is going to be attained - increased incorporation of urban issues into national Poverty Reduction Strategy Papers in the least developed countries.

#### Policy research and symposia

Nanjing's urban development also impressed the delegation of the Burkina Faso. On return from the Nanjing session, the delegation organized a symposium on the Stakes of Sustainable Urban Development. Madagascar delegation commissioned a situation

analysis for the plan on the Fight against Violence, in the capital, Antananarivo, after WUF3, Vancouver.

#### Budget allocation on addressing urban challenges

Since WUF4 in Nanjing, no concrete result has yet been reported in this aspect. However, the technical ministry in charge of urban policies and regional management in Madagascar has recognized the importance of allocating a budget for tackling the urban challenges. Tanzania is among other countries which took the action to allocate special budget lines for the international exchange of experience and brokering partnerships for sustainable urban development programmes.

#### Local Authorities

Two examples illustrate how the local authorities have benefited from the WUFs. Following the Vancouver forum Ghanaian partners hosted a meeting of Local Authorities – a direct result of the networking established during the event. In Nanjing, the “green brigades”, the impressive women cleaners, from the municipality of Ouagadougou, Burkina Faso, effectively shared their experience with others. Being exposed to the international world carries a special importance for the leaders of local authorities because their opportunities to open up to the world are more restricted than that of the ministry counterparts. The Mayor of an African capital indicated that a concrete outcome of his attendance at the WUF 4, is the working partnerships his city has developed with the Bill and Belinda Gates Foundation and Rockefeller Foundation. The result of this partnership is yet unknown.

#### Youth

The attendance in WUF sessions, and expanding international partnerships have enhanced the activities of some youth organizations. After the Nanjing session the “We are the Future” WAF youth group has added the Indian and Chinese youth to their network. Subsequent to the WUF session, a number of Chinese youth already started benefiting from being more widely connected to the world. “We are the Future” (WAF) group is a Canada based network which was basically active in Sub Saharan African countries. The group implements a programme which trains interns on how to facilitate the access of the unemployed youth to the internet. Following their training, these interns become extension workers for enhancing internet use within the communities who do not know any English. The case study below illustrates a concrete achievement reached by the group.

*A case study -We are the Future (WAF) youth group. In a slum of Nairobi, a young man wanted to start a carpentry workshop, but did not know how to go about it. The interns trained by WAF made a search for him in the internet, and found an example from India, and translated the steps of establishing a carpentry workshop, one by one. In due course, they also helped him exchange notes with the same carpenter in India, on the emerging issues of the business.*

During the focus group interview the youth also indicated that the least developed countries had something to show to the developed world, on grassroots empowerment and the use of networking. During the Nanjing session the African youth made a demonstration effect on free public speaking on behalf of their organizations, to the Chinese youth, who had to be accompanied by municipal officers in every meeting.

The other example of a positive result is from the organization called “Teens of Hope”, established after the post-election violence in Kenya, in 2008. Aiming to reinstate peace in a society boiling with ethnic turmoil, these young peace ambassadors started doing extension work in communities, but remained incapable of fighting the feelings of hatred of groups against each other. In Nanjing, these youth learned from the Canadians that peace could only be attained through *preventing* children from the stereotyping of and hatred towards other ethnic groups. Upon their return, they tailored their peace efforts towards schools: their new target group now is children and teenagers in schools. Currently they are active in 22 schools.

#### NGOs from USA

A participant from Habitat for Humanity International said that as a direct result of WUFs, Barcelona, Vancouver and Nanjing, she was writing a new programme evaluation manual that will be piloted in three countries (Uganda, Tanzania and Kenya). She also noted that “as a direct result of WUF”, she was building on the work that was started at WUF by conducting a training of trainers peace building initiative in Kenya and Mozambique.

A respondent from the US-based NGO, Rock Scissors and Paper, believed strongly that having a strong international character was functional in the development assistance work they deliver directly to the LDCs. She found that the networking with similar organizations around the world strengthened their power to lobby with the US Congress and other decision makers. Hence, strengthening “international linkages” increased the clout of NGOs, both outside and inside the country.

#### Widened exposure of the public to urbanization issues

Media interest in the WUF sessions and flagship reports has been remarkable. As the first of its kind, the WUF Nairobi, 2002 did not receive ample media attention, except for coverage in the local and regional media, because it inevitably looked like a Governing Council, rather than a WUF. The Nairobi event also lacked the advantage that the other WUFs had – a flagship report to sensitize the public. The press coverage in Barcelona reached the scale which the event deserved. Revolving around a central theme, culture, backed by the *State of the World's Cities Report 2004-5*, on urban culture, the second World Urban Forum was covered at reasonably high rates by the media.

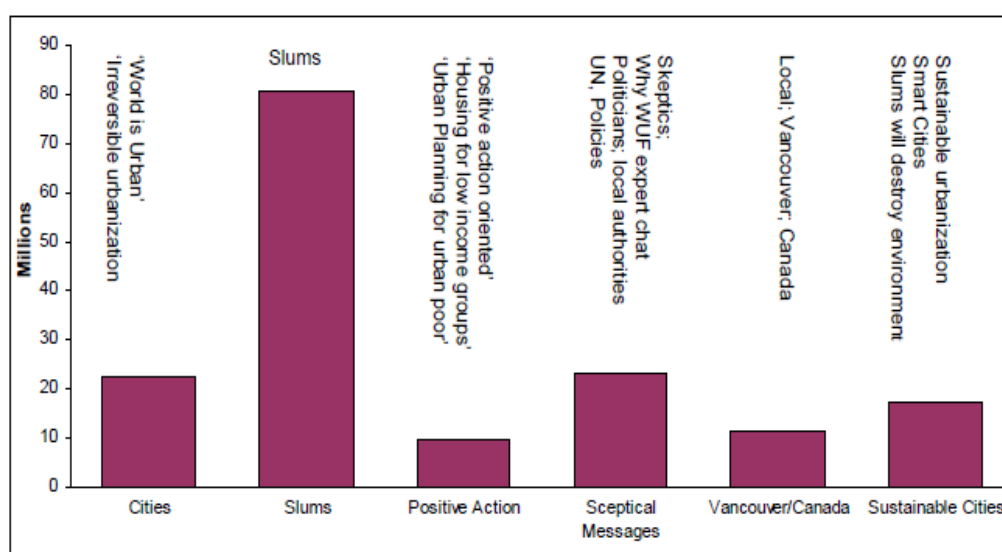
#### WUF3, Vancouver

It was the third session of the WUF, however, that really hit the headlines and bylines of the top global media such as the BBC News, the Hindu Times, and the Newsweek, with listener/reader outreach of 13.2, 5.6 and 2.7 million, respectively. Based on the data of the Media Section, a further analysis was made especially for the purposes of this evaluation, assessing the extent to which certain messages were disseminated – the circulation numbers. By comparing the media outreach by themes (Figure 4) can be noted that the number and condition of slums carried a media appeal. Headlines such as “one billion slum dwellers in the world”; “slums soon to become two billion”; “some cities of Africa are slum cities”; “the future of cities is slums”, urban poverty, urban inequalities, etc., circulated to close to 80 million readership. Media interest/circulation was not as high on news related to urbanization. Headlines such as “the world goes to town” and “urbanization is irreversible” came the second vis-à-vis circulation, with over twenty million.

The mostly positive action-oriented messages, such as “urban planning has to incorporate a pro-poor approach”, “Belo Horizonte excels in participatory budgeting”, and the like, reached close to ten million people. There was also vast circulation of twenty million on negative or skeptical approaches among media: describing the WUF as “expert chat”, “so many millions spent”, and “not much to show as successes”. Also included within this group are the headlines and bylines criticizing the neglect of politicians and leaders. News related to Vancouver and Canada reached twelve million readers. Ironically, the main theme of the forum, sustainable urbanization, attained lower-than-expected coverage.

A note of caution needs to be made as these numbers only provide indicative information as one news item, or article, is likely to cover most of the issues grouped separately. It should also be noted that the indicator “circulation” may not necessarily be equivalent to actual readership.

**Figure 4: Total Media Outreach (circulation) by Theme Headlines**



Source: UN-Habitat Media and Press Sections Database

#### WUF 4, Nanjing

The success of press coverage during and after WUF3 could also be explained by the vast amount of funding that the host government, Canada, provided for media marketing, which was not the case in Nanjing. Among the most interesting media coverage was the press release by UNICEF on urban growth and poverty. This suggests that other UN agencies also started to incorporate the urban agenda into their programmes.

Unable to reach regional media circulation figures, it is not possible to make a similar analysis for Nanjing WUF. Even though this was a disadvantage for monitoring, it shows that WUF’s regional media outreach fared well. Media coverage on this event, addressed more readers of the developing world, through for example Hindu Times, Manila Bulletin and All Africa. In addition some media outlets from Poland, Japan and China covered the WUF. Hence, diversity of media coverage was the trademark of Nanjing.

Surprisingly, “harmonious cities” did not attract ample media attention. What stirred interest were themes on “inequality in cities”, the relationship between greed and unsustainable urbanization”, “rising sea levels and coastal cities”, “slums and water”. On

the other hand, an evidence-based publication on Africa, the first *State of the African Cities Report*, received significant media attention. Full issues were published in regional periodicals, Business Africa, and some professional periodicals of countries in the region – South Korea.

## Discussion

Two NGO participants from the USA believed that the WUF sessions are not always designed for inducing policy change. Demonstrating success in enabling knowledge exchange and networking are the necessary but not the sufficient elements for affecting the policy formulation process. According to these respondents, WUF sessions lacked the two crucial ingredients for triggering change at the policy level, or on the ground: i) the lack of systematic policy discussion during sessions; ii) the lack of cohesive follow up from WUF to WUF.

The messages of the WUF4 Nanjing, were not widely publicized in the global media outlets like BBC, CNN, and Newsweek. The funding from the Foundation sources were not enough to pay for media marketing. The dates of the WUF 4 session were not strategically chosen, as it coincided with the American Presidential elections. This was another factor which caused lower-than-desired level of media interest in the Forum.

## Impact

The impact is defined as the long term effect of the WUF on the ultimate target group aimed at the urban inhabitants in general, and to urban poor, in particular. Among possible indicators reflecting impact are: i) enhanced livability level of cities; ii) improvement in the lives of slum dwellers; iii) and citizens' subjective happiness level. Arguably, it is unrealistic to expect an improvement in the conditions of citizens with one or a series of meetings. However, it is also possible to attain to results directly affecting the lives of slum dwellers and other city inhabitants, if participants themselves are from the small grassroots organizations assisting the slum dwellers, of the slum dwellers themselves. One commendable feature of the World Urban Forum is to embrace these groups in these meetings. In a key-note speech, Slum Dwellers International Chair noted that 35 slum dwellers were participating in the Barcelona session. He also noted, however, that such meetings are far from helping improve the lives of slum dwellers.<sup>viii</sup>

This is a correct observation as it can hardly be expected that grassroots participation in such meetings could induce change at a significant scale. However, owing to two basic reasons, it is impossible to conclude that lives of urban dwellers *cannot* be affected. First, before measuring and monitoring, the possibility of reaching impact level results cannot be ruled out. Second, it is highly likely that small scale changes can occur, provided that the participants themselves were transformed as a result of attending the Forum. One such participant is from a small grassroots organization, Al Tawoun, in Nairobi.

This organization is also in cooperation with UN-Habitat on a project which enables the young slum population to access the internet – One Stop Satellite. The chairman of this organization noted that after attending the WUF4, he improved the implementation of programmes of Al Tawoun on primary education, livelihoods and health care further by two types of transformation he himself went through: strengthening his ability to do better resource mobilization; and establishing new international partnerships. For example, because he learned how to go about micro financing projects from his Asian counterparts,

he could start implementing a small scale loans programme, on his return from Nanjing. Thanks to the lessons he learned from international peers, he approached donors more strategically. As a result, he was able to raise funding for a primary health care clinic in Korogochio, the third biggest slum in Nairobi. He established a partnership with UNIDO, Kenya, and the World Vision's branch in Nairobi. The latter helps him with resource mobilization. Drawing from this example, it could be suggested that the participants from the small grassroots organizations can make a difference on their communities.

## **Discussion**

The problem with the planning and monitoring of WUF is that it does not embrace the outcome and impact level. A few programmes that do spell out success indicators in their respective plans, suffice merely with the quantitative aspects of the output level, such as number of trainees, etc. The results at the outcome level, policies, budgets, etc. and results on people and communities, are not even articulated.

### **Recommendation 19:**

The Secretariat should build a system of WUF-to-WUF follow up on policy debate. It should summarize and track the key arguments, the recommendations as to what came out, the action taken, presenting what accomplishments were made, and identify gaps.

## **5. Conclusion**

The evaluation concludes that the World Urban Forums were successful. UN-Habitat functioned as a good catalyst for the WUF at large which has evolved to become an important advocacy platform for urban development in its own right. No doubt, the more meticulous and transparent planning process as recommended will render the process to be more efficient, and strengthen effectiveness of the WUFs.

The WUF has fulfilled an important function of strengthening the urban development community around the world, by periodically gathering all the relevant actors aiming to: i) plan for functional and livable cities; ii) redress urban inequalities; and iii) improve the lives of a billion slum dwellers.

The WUF sessions contribute to the transformation of national government counterparts, by catalyzing policy change, budget allocation and the formation of National Habitat Forums, all committed to good governance and equitable urban development. By enhancing interaction between different types of stakeholders, it expanded the opportunities for productive partnerships.

However, some areas need improvement to ensure and demonstrate results of WUF. UN-Habitat should take steps in improving its results-based-evaluation process whose initial steps have started with this document. The recommendations given for consideration of the CPR are intended to improve planning, organization, operational processes and effectiveness of future WUFs.

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5. Compilation of Press Clippings, WUF3 and WUF4, Nairobi, 2006, 2008.
6. Staff and travel cost on WUFs, 2002 to 2008.
7. Travel documents, 2006, 2008.
8. Expenditures on printing/shipment.
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15. UN-Habitat, "Review of Four WUFs", 2009.

#### B. Partners' documents

1. Goss Gilroy, Inc. "WUF 3 Evaluation: Post Forum Discussion Report", July 21, 2006.
2. "Evaluation of SIDA's participation at World Urban Forum, Barcelona and Vancouver", February 2007.
3. Huairou Commission "Evaluation Report: Grassroots Women's Participation in Habitat Jam", December 2005, report prepared by Dahlia Goldenberg and Katie Meyer.

<sup>i</sup> GC/22/10 para. 2.

<sup>ii</sup> GA/56/205, GA/56/206.

<sup>iii</sup> UN-HABITAT, Review Report of the Past Four WUFs, prepared by the MEU, May, 2009

<sup>iv</sup> UN-HABITAT, *ibid.* p. 9.

<sup>v</sup> Huairou Commission "Evaluation Report: Grassroots Participation in Habitat Jam", report prepared by Dahlia Goldenberg and Katia Meyer, December 15 2005. p. 5, 8.

<sup>vi</sup> UN-Habitat, "Evaluation Report of Fourth Session of WUF", 2009; "Evaluation Report of the Third Session of the WUF", 2006; "Evaluation Report of the Second Session of the WUF", 2004; "Evaluation Report of the First Session of the WUF", 2002, prepared by MEU.

<sup>vii</sup> SIDA, Evaluation of SIDA's participation at WUF, Barcelona and Vancouver, M. Elmquist, 2007. p. 5.

<sup>viii</sup> UN-Habitat, Report of the Third Session of the World Urban Forum, Vancouver, 2006, p. 23.

## Annex I. Governing Council Resolution 22/10

*The Governing Council,*

*Recalling* paragraph 10 of its resolution 18/5 of 16 February 2001, in which it requested the Executive Director to promote a merger of the Urban Environment Forum and the International Forum on Urban Poverty into a new urban forum, with a view to strengthening the coordination of international support to the implementation of the Habitat Agenda,

*Recalling also* General Assembly resolution 56/206 of 21 December 2001, and in particular paragraph 3 of section B, in which the General Assembly decided that the Forum would be a non-legislative technical forum in which experts could exchange views in the years when the Governing Council of the United Nations Human Settlement Programme did not meet, in addition to subsequent calls by the General Assembly for all Governments to participate actively in the sessions of the World Urban Forum,<sup>1</sup>

*Recalling further* General Assembly resolution 31/140 of 17 December 1976 on the pattern of conferences, in which the General Assembly decided that the United Nations bodies may hold sessions away from their established headquarters when a Government issuing an invitation for a session to be held within its territory has agreed to defray, after consultation with the Secretary General as to their nature and possible extent, the actual additional costs directly or indirectly involved,

*Recalling* the invitation by the General Assembly in its resolution 58/226 of 23 December 2003 to donor countries to support the participation of representatives from developing countries, and also its resolution 62/198 of 19 December 2007, by which it called upon donor countries to support the participation of representatives from developing countries, in particular the least developed countries, including women and young people, in the Forum,

*Noting with appreciation* the successful organization of the fourth session of the Forum, held in Nanjing, China, from 3 to 6 November 2008, and the growing interest of the global community in the World Urban Forum, as demonstrated by four successive successful sessions of the Forum and the increasing participation of Governments and Habitat Agenda partners from all regions, which has made the Forum the foremost global arena for interaction between policymakers, local government leaders, non-government stakeholders and expert practitioners in the field of human settlements,

*Noting also with appreciation* the report of the Executive Director on the fourth session of the World Urban Forum,<sup>2</sup>

*Noting further with appreciation* the financial and in-kind contributions made by a number of Governments and Habitat Agenda partners to help in the preparation of the fourth session of the World Urban Forum,

*Noting* the establishment of a World Urban Forum unit within the secretariat of the Governing Council to enhance the coordination of the preparation and conduct of the Forum, *Reiterating* the objectives of the World Urban Forum as contained in annex IV to the report of the first session of the World Urban Forum, held in Nairobi from 29 April to 3 May 2002,

1. *Welcomes* the invitation by the Government of Brazil to host the fifth session of the World Urban Forum in Rio de Janeiro from 22 to 26 March 2010;

2. *Requests* the Executive Director, in consultation with the Committee of Permanent Representatives, to carry out an early lessons-learned review of all previous sessions of the World Urban Forum to be submitted to the Committee prior to its September 2009 session, drawing on their respective evaluations with a view to improving the planning, organization and effectiveness of future sessions, containing, among other things, recommendations on the following areas:

- (a) Timing between Governing Councils and sessions of the World Urban Forum;
- (b) Mobilization of adequate and predictable resources;
- (c) Consideration of specific provision within the United Nations Habitat and Human Settlements Foundation budget for activities related to the World Urban Forum;
- (d) Scale, inclusiveness and effectiveness of participation;
- (e) Strengthening participant preparation at all levels;
- (f) Results-based-management-compatible evaluation process to ensure that specific objectives of the World Urban Forum relate to the UN-Habitat medium-term strategic and institutional plan and to the biennial work programme and budget;
- (g) Location assessment, including a cost-benefit analysis;
- (h) World Urban Forum budget planning process and financial transparency;

- (i) Timely negotiation of host country agreements;
- (j) Timely submission and distribution of pre-session documents;
- (k) Need to strengthen UN-Habitat internal management processes;
- (l) Cooperation with Habitat Agenda partners;

3. *Requests* the Committee of Permanent Representatives to consider the lessons-learned review and to make further recommendations to the Executive Director on future sessions of the Forum;

4. *Invites* Governments and all other Habitat partners to contribute to the success of the World Urban Forum by supporting the travel to, and participation in, the fifth session of the Forum by representatives of developing countries and of Habitat Agenda partners, including representatives of organizations of women, young people and people with disabilities;

5. *Requests* the Executive Director to report on the implementation of the present resolution to the Governing Council at its twenty-third session.

*7th plenary meeting  
3 April 2009*

<sup>1</sup> General Assembly resolutions 60/203 of 22 December 2005 and 62/198 of 19 December 2007.

<sup>2</sup> HSP/GC/22/2/Add.1.

**Annex II. Questionnaires and checklists****Annex II.1 WUF Participatory Assessment: Lessons learned on the WUF experience: Nairobi 2002, Barcelona 2004, Vancouver 2006; Nanjing 2008<sup>1</sup> Checklist for group or key informant consultations with members of the CPR:**

- A. Impact of WUFs with regards to:**
- Stimulating thinking on urban issues
  - Enhancing country programmes
  - Focus areas of bilateral aid agencies
  - Raising public awareness, via , media coverage
- B Planning process**
- B.1 The roles and responsibilities of:**
- Host country
  - UN-Habitat Secretariat
  - Habitat Agenda partners
  - CPR, vis a vis the WUF
- B.2 Success/failure of the planning process**
- C. Management**
- C.1** How did WUFs relate to the MTSIP & Work Plan and Budget
- C.2** The roles and responsibilities of the above stakeholders in management
- C.3** Should the logistics be outsourced?
- C.4** Successes/failures of management process?
- C.5** To what extent did the success/failure of management was affected by the host country dynamics?
- C.6** What can the Secretariat CPR do to increase the number of offers for hosting WUF?
- D. Participation / WUF sessions**
- D.1** Which actor should select the participants? Host country, the Secretariat, private conference services?
- D.2** Do you think participation was diverse/balanced enough?
- D.3** Was there an overarching theme bringing participants together?
- D.4** Does participation have to be limited to the conventional Habitat Agenda partners? Could it be widened, if so, who else could be added?
- D.5** Do you think WUFs put a good show in communicating messages related to the Habitat Agenda?
- D.6** Were WUFs a good platform for networking, and exposure to good practices and learning?
- D.7** Did the sessions widen the horizon of participants?
- D.8** Successes/failures
- E. Financing & Budget planning..**
- E.1** Who should finance which aspect of WUF? (roles/responsibilities)
- E.2** If part of logistics and participation is outsourced, who should pay for it?
- E.3** Do you think budget planning process for WUFs were up to standard?
- E.4** To what extent do you think budget planning is determined by the unknowns related to the host country?
- E.5** Successes/failures.

<sup>1</sup> The responses were limited to participants in the WUFs. It is sufficient if respondents have other types of experience with WUF, eg. witnessing its impact in their countries' programmes, among the local media; or being engaged in the preparatory phase.

**Annex II.2 Questionnaire: Process and Impact Assessment of the World Urban Forum (WUF), Vancouver & Nanjing, Habitat Programme Managers and Country Technical Advisors in Countries**

The purpose of the WUF evaluation is to extract the lessons- learned from WUFs Vancouver 2006 and Nanjing 2008. An overall participants evaluation was carried immediately after each WUF, and was analyzed in the aftermath of the events. This questionnaire, however, focuses more on in-depth evaluation and important nuances in regards to the processes and the impact, and the subjective experience of participants, including yourself. It is highly likely that HPMs themselves have the answers to these questions, as per their daily interaction with the partners themselves. In the event that the HPM would like to affirm and expand on the experience of local participants (questions 5-9), we suggest that he/she organizes a focus group discussion for a couple of hours to discuss with them the below questions. The HPM could either summarise the results, if answers are similar; or, send the unedited version of answers given if opinions are different. Since this is a qualitative inquiry, you are requested to *give as much detail on stories, feelings, opinions, dynamics and course of events, as possible, so as to convey the texture of the experience, better*. If the HPM chooses to hold a Focus Group session, it is advisable that names of participants are written.

1. Which criteria did you use to select local participants to the WUF?
2. Do you think WUF would be a good opportunity to expand your local partnership circles, eg. To include other UN agencies, or line ministries outside the usual stakeholders?
3. Which criteria did you use to select as speakers/panelists, etc. during networking events and dialogues?
4. Do you think that WUF Nanjing was linked to the MTSIP? Please explain in detail, how and why?
5. Did your partners feel that WUF activities stimulated their thinking on urban issues in general?
6. Did your local partners feel they have stimulated others by sharing *their* best practices/or experience to other global participants?
7. Did they feel that *they* were stimulated by the experience of other global experiences and practices?
8. In the aftermath of WUFs, were country programmes and strategies and plans revised? If yes, please explain in detail, how??
  - Vancouver
  - Nanjing
9. In the aftermath of the WUFs, did your partners have wider regional and global networks. In other words, did networking attained during the events go beyond the exchange of business cards?

### Annex II.3 WUF Participatory Assessment, Key Informant Interview Checklist, Habitat Agenda Partners

The questions in this checklist apply for all the WUFs, Nairobi 2002; Barcelona 2004; Vancouver 2006; Nanjing 2008. In the event your answers also pertain to long term impacts, then answers should not include WUF 2008, Nanjing. In general comparative answers emphasizing the difference and similarities between the four WUFs are welcome.

In answering these questions, please do not hesitate to go into detail, as nuances, impressions and individual experiences, enriched by examples, are the core merit of qualitative investigations.

1. Did the WUFs function as a whistle blower on the magnitude of urbanization; on the need to tackle urban poverty as a key development issue? Which other themes, if any, did you think the WUFs communicate to the public in general, and to the development community?
2. Did you think that the WUFs had only an alarmist approach, or did it give positive and action oriented messages?
3. As the partner of UN-Habitat do you think that the WUFs' themes and messages were linked to the Programme's corporate priorities and mandate?
4. In terms of content, do you think there was coherence between messages coming out of different events, dialogues, networking events and training?
5. Considering the magnitude of funds spent by the host countries, the Agency and donor's bilateral funding of participants, do you think that WUFs are value for money? What could the Agency and partners do better in order to make WUFs trigger more change on the policies of the central governments, local authorities, the way the civil society does business on the ground?
6. Did you change any of the following after you have had the WUF experience, obviously combined with other elements, eg. Reports:
  - .... (professors) reading list and/or syllabus
  - ... (decision makers) policies and implementation
  - .....(decision makers) attitudes toward the urban poor
  - .....(civil society) strategies of implementation on the ground
7. Did you foster additional networks or strengthen the existing ones, with?
  - .....UN-Habitat
  - .....other UN, World B. etc.
  - ..... universities and research institutes
  - .....central authorities
  - .....local authorities
  - .....civil society
8. Did you facilitate/broker initiatives/projects on the ground?
9. Do you know of other partners/participants who can give positive answers to Qs 5-7, in what way?

## Annex III. Staff time use sheet

**World Urban Forum Participatory Assessment**  
**Table on staff time, professional and general services,**  
**(Please produce separate tables for Vancouver and Nanjing)**

Post	# staff	Weeks devoted exclusively for WUF <sup>2</sup>	Weeks for Work Programme activities <sup>3</sup> which also feed into WUF
D2			
D1			
P5			
P4			
P3			
P2			
NO			
UNV			
Const.			
GS5			
GS4			
GS3&below If any...			

<sup>2</sup> Examples of activities exclusively for WUF, on what a D1 can do:

- Drawing up the list of participants from sections, branches, etc. Meetings held to reach decisions on the issue of participants both inside and outside the Branch.
- Coordinating MSB partners to attend the events
- Deciding on the events/themes with the team and partners
- Bilateral meetings with PMO to find budget lines on the travel of resource persons, entertainment etc.
- Coordinating with the Press and Media Section on the launch of the report
- Reading drafts of the press kit prepared on the report
- Coordinating with ISS on exhibitions from the MSB, etc.
- Drawing up an itinerary of side meetings with donors, partners, during the WUF

<sup>3</sup> Examples of activities that we did, anyway, as per the Work Programme, but also fed into the WUF

- Preparation/coordination of the State of the World's Cities Report, 2006-7 during the WUF
- Oversee the preparation of indicators for different chapters of SWCR
- Work with the Inter-agency Monitoring group on MDGs,
- Work with the World Bank on City Indicators

**Annex IV. List of respondents to key informant interviews, or questionnaires, by type of stakeholder**

**IV.1 UN-Habitat and CPR members**

Name	Title
<b>UN-Habitat staff</b>	
Mariam Yunusa	Ag. Chief, Secretariat of the Governing Council
Sandor Frigyk	PMO, Global Division
Daniel Biau	Director, RTCD
Karina Rossi	Programme Management Officer, PSD
Zahra Hassan	Press Assistant, ISS
Jane Nyakairu	Chief, ISS
Thomas Kjaergaard	Special Adviser to the DED
Lucia Kiwala	Chief, Gender Unit, MRD
Alioune Badiane	Director, ROAAS
Martin Barugahare	Chief, Monitoring & Evaluation Unit, OED
Asenath Omwega	HSO, Monitoring and Evaluation Unit, OED
Asa Jonsson	HSO, Shelter Branch
Pamela Odhiambo	Secretary, Training & Capacity Building Section
Lars Reuterswärd	Director, Global Division
Edle Tenden	Monitoring & Evaluation Officer, Monitoring and Evaluation Unit, OED
Nicholas You	Senior Advisor, Policy & Strategic Planning, OED
Wandia Seaforth	Ag. Chief, Best Practices Section, MRD
Eduardo Moreno	Head, City Monitoring Branch, MRD
Rasna Warah	Editor, City Monitoring Branch, MRD
Claudio Ocioly	Chief, Housing Policy Section, Shelter Branch, Global Division
Maria-Jose Olavarria	Events Manager, Global Division
Clarissa Augustinus	Chief, Land, Tenure & Property Administration Section, Shelter Branch, Global Division
Tatiana Roskoshnaya	Inter-Regional Adviser, Eastern Europe
Dan Lewis	Chief, Disaster, Post Conflict & Safety Section, Global Division
Rolf Wichmann	Director GC Secretariat (recent retiree)
A. Krishnan	Chief, Partners and Youth Section, MRD
Paul Taylor	Office of the Executive Director
<b>CPR members</b>	
Mounir Nabil	DPR, UNEP-UN-Habitat, Pakistan
Hanna Klucarova	DPR, UNEP-UN-Habitat, the Czech Republic
Celil Erdogan	DPR, Turkey
Antonio Fernandez de Tejada Gzl.	DPR, Spain
Ana Maria Sampaio Fernandes	Ambassador, Brazil
Adam Jayme Muniz	DPR, Brazil
Bupinder Liddar	DPR, Canadian Embassy
Leon Jordan	First Secretary (multinational) DPR, S. Africa
Eiji Tanaka	First Secretary, DPR, Japan
Ketan Shukla (Dr)	First Secretary, DPR, India
Benjamin Wilhelm	German Embassy
Morten Nordskag	DPR, Norwegian Embassy

Ingar Flatlandsmo	Norwegian Embassy
Nicholas Dasnois	French Embassy
Victoria Lefebvre	French Embassy
Verdiana Mashinga	DPR, Tanzania

## IV.2 Partners

### IV.2.1. Key informant interviews

Name	Affiliation
Darcy Varney	University of Colorado, Research Director
Marc Weiss	Chairman, CEO, Global Urban Development, Washington, Prague, London
Nancy Sedmak Weiss	Secretary, Treasurer, Global Urban Development
Rob de Jong	UNEP
Manu Chandaria	Private Sector

### IV.2.2. HPM Questionnaires received

Country
Zambia
Eritrea
Liberia
Burkina Faso
Madagascar
Ghana
Senegal

### IV.2.3: Focus Group with representatives of grassroots youth groups, Nairobi

Name	Organization
Mr. Saidi Hassan	One Stop Satellite, Nairobi
Ms. Juliet Awour	Stay Alive Youth Group (YAAP), Nairobi
Ms. Patricia Sudi	Taking It Global, Nairobi
Mr. Boniface Kilivwa	Teens of Hope (Youth as Agents of Peace), Nairobi

### IV.2.4: Partners answering questionnaires

Name	Organization
Karun Koenig	Youth Environment Alliance, Canada
Lee-Anne Ragan	Rock.Paper.Scissors Inc., Canada
Jane Katz	Habitat for Humanity, International
Hon. Masunda	Mayor of Harare, Zimbabwe
Prof. Winnie Mitullah	Nairobi University

**Annex V. Costing of staff time use****Estimation of UN-Habitat Staff Costs****WUF IV – Nanjing**

	<b>Weeks Devoted exclusively to WUF IV</b>	<b>Work Programme Activities which also feed into WUF</b>	<b># of Staff</b>	<b>Total Staff in 2008</b>
USG/ASG	10,070	10,070	2	2
D2	24,875	24,875	3	3
D1	121,095	197,789	12	14
P5	181,971	196,243	23	33
P4	211,112	374,372	19	36
P3	161,502	211,194	18	38
P2/1	111,561	118,124	17	25
UNV	10,731	25,615	3	
NO	15,890	19,068	2	6
LL	96,930	67,533	33	97
	<b>945,736</b>	<b>1,244,883</b>	<b>133</b>	<b>255</b>

**WUF II - Vancouver**

	<b>Weeks Devoted exclusively to WUF III</b>	<b>Work Programme Activities which also feed into WUF</b>	<b># of Staff</b>	<b>Total Staff in 2007</b>
ASG	-	-	-	2
D2	-	-	-	4
D1	24,219	20,183	2	13
P5	128,450	135,586	10	31
P4	104,148	273,038	8	35
P3	141,624	114,293	7	35
P2/1	98,436	98,436	14	25
UNV	1,385	6,231	2	
NO	-	-	-	6
LL	41,314	33,369	15	92
	<b>539,577</b>	<b>681,136</b>	<b>58</b>	<b>243</b>