



大会

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落实联合国人类住区会议和联合国住房
与城市可持续发展大会成果以及加强
联合国人类住区规划署(人居署)

负责评估和提高人居署效力的高级别独立专门小组提交的 报告

秘书长的说明

大会第 [71/256](#) 号决议附件第 172 段和第 173 段请秘书长向大会第七十一届会议提交对联合国人类住区规划署(人居署)的循证独立评估,并提出建议,以改善人居署在有关制定规范和开展业务的任务规定、治理结构、伙伴关系和财务能力诸方面的效力、效率、问责和监督。

秘书长谨依此要求,向大会转交评估和提高人居署效力高级别独立专门小组的报告。



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摘要

本报告从《2030 年可持续发展议程》、《新城市议程》及其可能在全球发展、和平与安全方面引发的变革入手，着重阐述以下内容：亟需采取行动，应对与可持续城市化有关的迫切问题；评估联合国人类住区规划署(人居署)作为一个组织能否在实现这些大胆目标方面胜任其职。

根据大会在第 71/256 号决议附件第 172 段和第 173 段的授权，负责编写此份报告的专门小组要对人居署作出独立、客观、循证审查和评估，并提出建议，以改善人居署在有关制定规范和开展业务的任务规定、治理结构、伙伴关系和财务能力诸方面的效力、效率、问责和监督。秘书长鼓励专门小组提出大胆、富有雄心的建议，同时考虑到城市化带来的挑战和机遇，这些挑战和机遇对全球发展、和平与安全的影响，以及不让一个人掉队的重要性。

专门小组在报告中承认，人居署及整个联合国系统面临各种挑战，其敏捷、有效应对急速全球性变化的能力遭到削弱。专门小组特别提请注意的是，联合国系统内部未能充分认清城市化的速度、规模和影响，未能充分认清《2030 年议程》对城市发展方向的依赖，亦未能充分认清地方政府及地方其他行为体在城市发展中起到的根本作用。

专门小组一致认为：人居署在问责、透明和效率方面存在局限；资源不充分、没保障且无法预见；由于需要寻找资金而偏离了自身的制订规范任务。专门小组的评估认为，第一要务是拯救、稳定、进而迅速加强人居署，使之能够根据《2013 年议程》和《新城市议程》发挥新的作用。为了支持人居署的工作，专门小组建议设立一个将定名为“联合国城市机制”的独立协调机制，负责围绕“城市可持续性”这个主题，把联合国系统各组织与合作伙伴汇集起来。

为了应对挑战，专门小组建议人居署重新着力开展规范制订工作；聚精会神落实《2030 年议程》关于“不让任何一个人掉队”的承诺；采取创新方法为人居署筹资，为规范制订工作提供支撑。专门小组强调指出：需要转变治理结构，包括实行普遍会员制；设立一个小而强的政策委员会；让地方当局/国家以下各级政府及其他城市利益攸关方正式参与，以建言献策。专门小组还建议，与代表地方政府和被排斥城市群体的组织广泛建立更强有力、更包容的伙伴关系。

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一. 全球现状

A. 引言

1. 发展系统对城市问题的反应一向缓慢，而且尚未完全认识到城市地区和周边地区之间相伴相生的关系。城市和城镇是经济增长与发展的主要催化剂，也是服务和资源的集中地，而且长期以来有种观念认为，农村发展有碍人员向城市地区流动，因此，农村严重贫穷一直是关注的焦点。¹ 不过，随着城市逐渐占据主导地位，全球最为迫切的发展挑战越来越多地在城市地区出现并加剧。²

2. 城市化进程不仅是挑战，也是百年一见的机遇。城市地区人口密度高，与农村住区相比，城市、城镇生态更可持续，社会更加包容，文化更为多元。由于地方政府与其所服务的民众距离接近，这使得城市地区成为公民参与和民主治理的理想之地，而世界各地许多地方政府和社区推出创新举措、促进城市共建，就证明了这一点。此外，令人鼓舞的是，在世界各地的城市住区和地区，以可持续性为导向的试验纷纷涌现。

3. 然而，要发挥潜力，就不能忽视挑战。全球大部分地区的城市人口持续上升，贫穷、人道主义危机和冲突等现象在城市日渐频繁，气候变化给城市带来的风险不断加剧。当务之急是在全球、国家和地方层面以及在发达和发展中国家步调一致地行动起来，应对当前挑战，缓解正在加剧的不平等问题，防范今后出现的威胁。若不正视城市的现实情况，就无法落实《2030 年可持续发展议程》(内含可持续发展目标，并在根据《联合国气候变化框架公约》通过的《巴黎协定》、《2015-2030 年仙台减少灾害风险框架》和《第三次发展筹资问题国际会议亚的斯亚贝巴行动议程》的基础上更进一步)。《新城市议程》为当前这一持续转变提供了路线图，人居署与整个联合国发展系统在协助各国有效贯彻《2030 年议程》方面可以发挥关键作用。

4. 根据预测，在 30 年内，世界三分之二的人口将在城市地区生活。城市增长率在世界许多地区开始趋于持平，但在非洲和亚洲大部分地区依旧居高不下，这些地区占预计增长的 90%，而且其资源最为紧张，发展挑战也最为严峻。³ 人口从农村向城市移民起到很大作用。⁴ 移民人口大多是前往中小城镇和城市以及正

¹ Diana Mitlin and David Satterthwaite, *Urban Poverty in the Global South: Scale and Nature* (London and New York, Routledge, 2013)。

² 《2013 年世界经济和社会概览：可持续发展面临的挑战》(联合国出版物，出售品编号：C.13.II.C.1)。

³ 联合国，《世界城市化前景：2014 年修订版，摘要》([ST/ESA/SER.A/352](#))。

⁴ Cecilia Tacoli, Gordon McGranahan and David Satterthwaite, “Urbanization, rural-urban migration and urban poverty”, working paper (London, International Institute for Environment and Development, 2015)。

在扩张的城市周边地区，那些地方的行政管辖通常隶属不清或彼此重复。⁵ 在传统上不被当作城市的地区，聚集着高度流动的群体，对这一现实情况不能视而不见。实际上，生硬地进行城乡二元分割已经变得越发不合时宜；基于地域的方法更好地反映农村向城市移民的复杂持续过程，尽管这也给规划和土地保有制提出了新的挑战。

5. 城市化对于经济增长至关重要。然而，包括从国家政府到国际机构在内的众多主要行为体仍未看清这一根本现实，从而出台一些限制移民的政策，试图减缓城市化进程，限制地方城市政府获得发展融资的途径。⁶ 尽管受到制约，人口还在向城市流动，因此，如果包容性、扶持性政策和投资缺位，这就意味着处境艰难的新居民只有有限的机会，服务滞后问题加剧，非正规现象日增，大加吹捧的“城市优势”将离许多居民而去。例如，许多国家的农村儿童死亡率问题正在不断改善，而其城市儿童死亡率问题却停滞不前或趋于恶化。⁷ 在很多城市地区，贫穷、饥饿、灾害脆弱性、疾病和暴力更加普遍。⁸ 城市化进程将在 50 年内大致完成。⁹ 若不给予建设性引导，城市红利就会在更多地方沦为祸患，这将表现在不平等、排斥、基础服务欠缺、人道主义危机、城市矛盾日益激化等方面。

6. 正式数据显示，在全球贫穷人口中，城市所占比例上升，农村所占比例和绝对数量则在下降。¹⁰ 然而，无法对城市贫穷数据作出可靠评估，因为面临严重匮乏的人口往往统计不全。非正规住区通常不纳入人口统计和调查研究；贫困线不考虑较高的城市生活成本；贫穷状况评估经常要靠平均数，而在不平等程度高的城市地区以及在真实的贫穷严重程度为财富集中所掩盖的城市地区，平均数具有欺骗性。¹¹

⁵ David Satterthwaite, “Small and intermediate urban centres in sub-Saharan Africa”, working paper No. 6 (International Institute for Environment and Development and Urban Africa Risk Knowledge, 2016)。

⁶ Gordon McGranahan, Daniel Schensul and Gayatri Singh, “Inclusive urbanization: can the 2030 Agenda be delivered without it?”, *Environment and Urbanization*, vol. 28, No. 1 (April 2016), pp. 13-34。

⁷ E. W. Kimani-Murage and others, “Trends in childhood mortality in Kenya: the urban advantage has seemingly been wiped out”, *Health and Place*, vol. 29 (September 2014), pp. 95-103; and Mark Minnery and others, “Disparities in child mortality trends in two new states of India”, *BMC Public Health*, vol. 13, No. 1, (2013), p. 779。

⁸ Mitlin and Satterthwaite, *Urban Poverty in the Global South*; Caroline Moser and Cathy McIlwaine, “New frontiers in twenty-first century urban conflict and violence”, *Environment and Urbanization*, vol. 26, No. 2 (October 2014), pp. 331-344; and Donald Brown and others, “Urban crises and humanitarian responses: a literature review” (London, Development Planning Unit, University College London, 2015)。

⁹ 《世界城市化前景：2014 年修订版》。

¹⁰ Martin Ravallio、陈少华和 Prem Sangraula, 《全球贫困城市化的新证据》，《2008 年世界发展报告》背景文件，第 4199 号(华盛顿特区，世界银行，2007)。

¹¹ Mitlin and Satterthwaite, *Urban Poverty in the Global South*。

7. 据估计,三分之一的城市人口居住在贫民窟和非正规住区,通常不能享受适当的住房、基础设施或服务。在非洲,这个数字逼近 60%和 70%。在一些国家,这一比例虽在下降,但绝对数字却继续上升。¹² 许多城市居民因无力承担正规土地和租赁市场上的价格,只得住在这些私建住区,往往没有合法财产权利,享受不到公民福利,没有获取信贷、保险和诉诸法律的途径,甚至没有投票的权利。此外,他们还可能面临驱逐的威胁,而且是在给警告、求助无门或没有重新安置的选择的情况下。还有更多的人长期没有安全保障。¹³ 非正规住区解决办法是城市贫穷人口生存的基础。但是,这些解决办法虽然是世界大多数地区城市发展的必由之路,却最终会固化并加深贫穷与不平等。越来越多的人陷入这些非正规解决办法而不能自拔,这一情况已经成为城市未来可持续发展的阻碍阻碍。¹⁴

8. 在许多地方,贫穷城市住区遭受的挑战因极端天气造成的危害不断增多而加剧。¹⁵ 城市是人口和资产集中之地,因此面临很高的风险,特别是在位于海边或河畔的地点。城市的规模经济和距离接近赋予其强大的适应能力,但并非一个城市的所有部分都因此受益。非正规住区往往位于最危险的地点,例如冲积平原、存在滑坡风险的山边和工业废物附近,因此无法利用那些让人们能够抵御极端条件的保护性基础设施,例如道路、排水沟、早期预警系统和应急服务等。贫穷居民防范、抵御一系列极端天气并从中恢复的能力更是有限。¹⁶ 这些极端情况再加上冲突,迫使越来越多的人涌入城镇和城市。到 2016 年,全球有 8 000 万人因冲突与灾害流离失所。¹⁷ 这个数字仍在攀升,如今其中半数以上的人在城镇和城市落脚,让原本已经不堪重负的地方当局承受更大负担。往往由于争夺土地和稀缺的城市资源而发生的全面冲突,也成为城市地区越来越普遍的现象,从而产生了“脆弱城市”这个新的类别。¹⁸

¹² 联合国人类住区规划署(人居署),《世界城市状况报告 2012/2013: 城市的繁荣》(内罗毕,2012 年)。

¹³ Leilani Farha,《强制驱逐: 全球危机, 全球解决方案》(内罗毕, 人居署, 2011 年)。

¹⁴ Mitlin and Satterthwaite, Urban Poverty in the Global South; and Martha Chen, Sally Roever and Caroline Skinner, “Urban livelihoods: theory and policy”, Environment and Urbanization, vol. 28, No. 2 (October 2016), pp. 1-12。

¹⁵ Aromar Revi and others, “Urban areas”, in Climate Change 2014: Impacts, Adaptation, and Vulnerability — Part A: Global and Sectoral Aspects, Christopher Field and others, eds. (New York, Cambridge University Press, 2014). 网址: www.ipcc.ch/report/ar5/wg2/。

¹⁶ Noah Scovronick, Simon Lloyd and Sari Kovats, “Climate and health in informal urban settlements”, Environment and Urbanization, vol. 27, No. 2 (October 2015), pp. 657-678。

¹⁷ Internal Displacement Monitoring Centre and Norwegian Refugee Council, “Global overview 2014: people internally displaced by conflict and violence” (Geneva, 2014)。网址: www.internal-displacement.org/assets/publications/2014/201405-global-overview-2014-en.pdf。

¹⁸ Aromar Revi and others, “Urban areas”, in Climate Change 2014: Impacts, Adaptation, and Vulnerability - Part A: Global and Sectoral Aspects, Christopher Field and others, eds. (New York, Cambridge University Press, 2014). 网址: www.ipcc.ch/report/ar5/wg2/。

9. 权力下放后，许多基础性政府责任转移到地方。尽管要求承担的责任不断加码，却很少为之配备履行职责所需的资源。¹⁹ 然而，即便是缺乏资源及更全面的再分配政策，地方政府仍然扮演着至关重要的角色，需要采取多种手段应对不断增加的挑战，例如确保土地管理系统公平公正，避免规章制度歧视非正规住区的贫穷人口，下决心在服务的提供上做到包容，有意愿考虑有组织的城市贫民群体采用的自助战略。²⁰

10. 一方面迫切需要国家政府和发展援助界向地方政府提供更多支持，另一方面也迫切需要弥补地方行为体和大型全球决策机构之间的差距。用于发展筹资的资源越来越多地超出多边和双边援助的范畴，扩展到联合国影响力或职责范围以外的国内资源和国际私有部门资金。²¹ 不过，联合国在提倡发展筹资的可预见性、充分性和可持续性资源利用效力方面，依然可以有所作为。联合国还可以依托倡导工作与伙伴关系，帮助缓解重大基础设施项目产生包括骚动、大量家庭致贫等在内地的意外后果，保障措施若不到位，这些后果就会延续数代。

B. 行动呼吁：《2030 年可持续发展议程》和《新城市议程》

11. 由于认识到亟需采取行动应对紧迫的城市问题，政府代表在 2016 年于基多召开的联合国住房和城市可持续发展大会(人居三)上，通过了《新城市议程》，在其中强调了城市化和发展同迫切要实现包容性和可持续性城市增长之间的联系。雄心勃勃的《2030 年议程》比《新城市议程》早一年通过，为这项工作提出了至关重要的总体路线图。可持续发展目标共有 17 项，旨在激励人们在那些对人类和地球十分关键的领域采取行动，其中目标 11 是建设包容、安全、有抵御灾害能力和可持续的城市和人类住区。如不重视这个以城市为着眼点的目标，不重视其他 16 个目标对城市的影响，那么，任何一个目标都不可能实现。《新城市议程》和可持续发展目标共同指出了将城市纳入全球可持续发展的道路。关于气候变化的《巴黎协定》、《仙台减少灾害风险框架》和《亚的斯亚贝巴行动议程》在此方面起到同样重要的作用。

12. 为确保联合国系统有能力应对《2030 年议程》和《新城市议程》提出的挑战，秘书长发起了对联合国发展系统的职责与能力的全系统审查。这项审查必须也必然密切关注各项两项新议程对城市的影响，密切关注整个系统迎接挑战的能力和决心。人居署是此项工作的重要行为体之一，今后几年发挥关键作用，但需要明确和加强这一作用。

¹⁹ 人居署，《发展中国家地方政府面临的筹资困难》(内罗毕，2015 年)。

²⁰ Diana Mitlin, “With and beyond the state: co-production as a route to political influence, power and transformation for grassroots organizations”, *Environment and Urbanization*, vol. 20, No. 2 (October 2008), pp. 339-360.

²¹ United Cities and Local Governments, *Basic Services for All in an Urbanizing World: Third Global Report of United Cities and Local Governments on Local Democracy and Decentralization—Gold III* (Barcelona, 2013); 人居署，“强化规范和业务框架：促进国家一级实现可持续城市化”，2008-2013 年中期战略和体制计划。网址：http://mirror.unhabitat.org/downloads/docs/ENOF_FA.pdf。

13. 为了支持落实《2030 年议程》，联合国发展系统就必须将宏观的城市视角融入所有相关目标。人居署在提倡挖掘城市潜力、实现发展宏愿之外，不仅需要以汇集地方政府、私有部门、城市贫穷人口团体等城市关键利益攸关方的政府间进程为指导，协助制定城市发展方面的全球规范框架、政策和标准，还需要支持使城市发展和城市化成为联合国系统一切工作的主流。

14. 另外还必须面对以下事实：人居署的现有资金不足以满足自身需求，而且全球的城市发展筹资工作也需要转变。当前对城市地区的大多数投资来自私有部门和企业利益。²² 联合国发展系统必须不仅重视政府间转移支付，还要更进一步，重视确保国际国内所有的公共和私营部门投资接受民主监督，保护公共资产，尊重人权，而且确保这一投资符合《2030 年可持续发展议程》和可持续发展目标。

二. 人居署评估的背景

15. 根据大会第 71/256 号决议附件第 172 段和第 173 段的规定设立了负责编写此份报告的专门小组，对人居署作出独立、客观、循证审查和评估，并提出建议，以改善人居署在有关制定规范和开展业务的任务规定、治理结构、伙伴关系和财务能力诸方面的效力、效率、问责和监督。专门小组此项评估与秘书长实施的全系统审查同步进行。专门小组希望，此份报告能成为总体审查的补充和组成部分。报告将于 2017 年 9 月提交大会第七十一届会议。专门小组成员简历见本报告附件一。

16. 秘书长在同专门小组会面时，鼓励提出大胆、富有雄心的建议，同时考虑到城市化带来的挑战和机遇，这些挑战和机遇对全球发展、和平与安全的影响，以及不让一个人掉队的重要性。

17. 专门小组在 2017 年 4 月至 7 月底实施审查期间，依职责对下列内容进行了评估：

- (a) 人居署的规范制定任务和业务开展方面的任务规定；
- (b) 人居署的治理结构及其更加有效、尽责和透明地作出决策的能力，以及可能采取的其他办法，
- (c) 为挖掘伙伴关系的全部潜力，人居署在联合国系统内部开展的工作、同国家、国家以下各级和地方政府开展的工作、与相关利益攸关方开展的工作；
- (d) 人居署的财务能力和制约因素。

18. 专门小组考虑了人居署的沿革及联合国系统的总体情况。专门小组同会员国、各行为体和利益攸关方开展了广泛磋商，以增强人居署的效力、效率、问责和监督提出建议，从而协助落实《新城市议程》、《2030 年议程》以及可持续发展目标。

²² 人居署，“强化规范与业务框架”。

19. 在编写报告时，专门小组还进行了文献检索、实地考察、访谈及专门小组内部讨论和分析。在此过程中，专门小组举办了磋商会和研讨会，参加者包括：人居署理事会、常驻代表委员会、执行主任和高级管理层的代表；多边组织中的关键合作伙伴；地方当局协会和地区政府；城市问题经济学家；青年和妇女团体；其他相关利益攸关方(见附件二)。专门小组还咨询了世界银行等多个联合国系统内组织和专门机构的代表(见附件三)。专门小组也向会员国、城市问题专家、联合国系统内各组织、民间社会组织、学术机构、其他行为体和利益攸关方发出了调查问卷(见附件四)。联合国系统内各组织鲜有回复，但是会员国、城市问题专家和民间社会团体则大力参与(见附件五和六)。由于工作期限短暂。专门小组借鉴了以往评价和评估提供的证据(见附件九)。此外，专门小组成员所属网络和所在机构的观点在讨论中也有体现。尽管充分考虑了不同观点和看法，本报告反映了专门小组的协商一致意见。

20. 本报告第三节概述了专门小组对人居署现况的评估，第四节考查了可持续发展目标与《新城市议程》提出的新要务，第五节说明了人居署受到的影响及专门小组对人居署提出的建议。

三. 人居署概况

A. 人居署在联合国系统内部的历史和作用

21. 人居署是一个联合国实体，1978年成立，总部位于内罗毕，设有四个区域办事处(设在内罗毕的非洲办事处、设在开罗的阿拉伯国家办事处、设在日本福岡的亚洲和太平洋地区办事处和设在巴西里约热内卢的拉丁美洲和加勒比海地区办事处)、六个联络和信息办公室(纽约、日内瓦、布鲁塞尔、马德里、莫斯科和北京)和 55 个国家办事处，在 63 个国家开展技术合作项目与联合国生境和人类住区基金会的专项活动。人居署在全球范围内发挥规范性和业务性作用。这两类作用的区别在下文详述。人居署工作的四个优先领域是：

- (a) 城市立法、土地和治理；
- (b) 城市规划和设计；
- (c) 城市经济和财政；
- (d) 城市基本服务。

22. 人居署还活跃于以下领域：降低风险、恢复和抗御能力建设；住房和贫民窟改造；研究和能力发展。规划中还指出了性别平等、青年发展、气候变化和人权等交叉问题。自 1976 年以来，人居署已召开三次人居大会，其自身任务也随之演进。

23. 人居一(加拿大温哥华)：1976 年，城市化快速发展的规模与后果在《温哥华人类住区宣言》得到承认。根据《宣言》的建议，人类住区委员会和联合国人类住区中心首先成立，两者后于 1978 年合并为人居中心。在住区政策和战

略、住区规划、住房、基础设施和服务、土地和公众参与等领域，提出了多项行动计划。

24. 人居二(土耳其伊斯坦布尔): 1996 年,《伊斯坦布尔人类住区宣言》和《人居议程》阐述了会议目标,确立了人居中心的一项任务,纳入了人人享有适足住房、可持续且平等的人类住区发展、消除贫困、经济社会发展和环境保护、尊重人权和基本自由等内容。人居中心之后得到加强,于 2002 年成为一个方案——联合国人类住区规划署(人居署)。

25. 人居三(基多): 2016 年,《新城市议程》作为人居三的成果文件获得通过时,可持续城市化在其中牢牢占据一席之地。该议程被视为一次历史性契机,可借以在一个日益城市化的世界中,利用城市和人类住区的关键作用推动可持续发展。其中一项建议是,加强人居署作为《新城市议程》的执行协调中心之一所发挥的作用。

26. 尽管人居署的诸多主管事项受到认可,但专门小组认识到,成员国与合作伙伴担心的是,人居署以目前的状态和现有的能力,无力应对世界各地人类住区的急剧转变造成的巨大挑战,例如城市化迅速推进、全球互联互通增强等。人居署和整个联合国系统必须胜任其职,在可持续发展目标和《新城市议程》中提出的远大目标才能实现。本报告旨在确定如何以最佳方式支持和振兴人居署,从而使之发挥有效作用,为落实这些宏大议程作出贡献。

B. 人居署的工作及其规范作用与业务作用之间的紧张关系

27. 如前所述,人居署具有规范和业务双重作用。虽然有些方面存在重叠,但其规范性工作适用于规范、政策、标准和框架领域,而业务性工作则指在理想状态下参照规范性准则在实地开展的实际技术项目。人居署的战略优先领域必须涉及规范和业务两方面的主管范围,而且,为了实现其目标,人居署需要同时在政策和技术层面上开展工作。它的三管齐下的方法涉及法律(细则和条例)、经济(财务规划)和城市设计三个方面。人居署的加强版规范和业务框架²³强调衔接规范性工作和业务性工作,整合政策和方案规划,并确保实地工作融入更大的共同愿景。事实上,该组织的业务性工作往往与其规范性使命并没有多少关联。

28. 人居署的规范性活动通常采取的形式有开展培训方案、提供政策指导、促进良好的城市管理和治理以及汇编有关全球城市和人类住区趋势的研究报告和数据。²⁴从理论上讲,这种规范性工作优先于业务项目,但人居署的技术合作活动深受捐助方和各国政府的欢迎,而在这些活动和规范性工作之间维持一种相辅相成的平衡一直存在问题。秘书长在其关于重新定位联合国发展系统以实现《2030 年议程》(A/72/124-E/2018/3)的报告中把这种情况作为整个联合国系统面

²³ 人居署,《加强版规范与业务框架》。

²⁴ 联合国评价小组(2012 年),对人居署评价职能的专业同行审议。可查阅 <https://unhabitat.org/uneg-professional-peer-review-of-the-evaluation-function-of-un-habitat/>。

面临的挑战加以提及，认为部分原因是成员国政府和其他合作伙伴的供资方法。目前正在就这一问题及其对新的议程的影响进行若干讨论。²⁵

29. 广泛地说，人居署的规范性工作由非指定用途核心资金提供支持，而其业务性工作，通常包括实地项目，则由技术合作基金和特别用途基金提供支持，后者在预算中占大头。²⁶ 虽然期待规范性工作和业务性工作均有产出，但并没有规定产出的目标比例。²⁷ 然而，人居署工作人员和其他利益攸关方均指出，实际开展的业务性工作比规范性工作多很多，²⁸ 预算拨款比例失衡也证明了这一事实。由于核心资金减少，人居署别无选择，只能寻求在联合国以外开展业务性工作，这影响了人居署重点开展战略优先事项和规范性工作的能力。²⁹ 许多受到高度重视的项目是捐助方推动的技术合作项目，不利于推广，因此也削弱了人居署的规范性任务规定。许多成员国虽然对这些项目进行了投资，但对缺乏规范性工作感到关切，并且不希望看到人居署像一家咨询机构那样行事，³⁰ 受利益驱动，而这些利益并不符合理事会的战略性指导方针。专门小组成员从利益攸关方那里明确感受到，人居署需要加强其规范性作用，并确保业务性工作为规范性议程提供信息。

30. 另外一种担心是，在业务层面取得的成果和吸取的经验教训没有按预期在规范性工作中得到反映，因此人居署很难逐步扩大试点项目，将其变为规范性产出。³¹ 最后，存在着这样的风险，即与规范性目标不相关的业务性工作可能有损规范性目标的实现。例如，大型业务发展项目可能会垄断本来可以用来支持更多当地群体的供资，限制了对影响他们生活的决定发表意见的机会，从而阻碍了吸引当地群体参与的规范性导向。

²⁵ John Burley 和 Douglas Lindores, 《联合国发展系统及其发展方面的业务活动：更新定义》，为经济和社会事务部 2016 年联合国系统发展方面业务活动四年度全面政策审查编写的报告，2016 年 2 月；联合国评价小组，《关于评价联合国系统规范性工作的联合国评价小组手册》，指导文件，2013 年 11 月。可查阅 www.unesco.org/fileadmin/MULTIMEDIA/HQ/IOS/temp/UNEGHandbookNormativeWorkENG.pdf；和“经社理事会关于联合国发展系统在《2030 年可持续发展议程》背景下长期地位问题的对话”，经济及社会理事会主席团任命的独立顾问小组的工作文件(2016 年 6 月)。可查询 <https://www.un.org/ecosoc/sites/www.un.org.ecosoc/files/files/en/qcpr/ita-findings-and-conclusions-16-jun-2016.pdf>。人居署还在执行主任关于 2016-2017 两年期拟议工作方案和预算的报告(HSP/GC/25/5)并在《2015 年人居署全球活动报告：增进协同实现更大国家自主权》(内罗毕，2015)中反思了这些作用。

²⁶ 2016-2017 两年期拟议工作方案和预算(HSP/GC/25/5)，2014-2019 年战略计划(HSP/GC/24/5/Add.2)和《2015 年人居署全球活动报告》

²⁷ 人居署，“人居署 2014-2019 年战略计划实施情况中期评价”，2017 年 4 月。

²⁸ 高级别小组与人居署高级工作人员的协商，2017 年 5 月 6 日。

²⁹ 多边组织业绩评估网，《联合国人类住区规划署(人居署)：机构评价报告》，2015-2016 年。

³⁰ 高级别小组就评价人居署开展的协商和提出的问题。

³¹ 大不列颠及北爱尔兰联合王国国际发展部，“多边援助审查：评价联合国人类住区规划署(人居署)”，(伦敦，2011 年 3 月)。

C. 治理结构和管理

31. 人居署有三个主要治理机构：由 58 个成员国组成、负责制定总体政策和战略的理事会，由 94 个人居署认可的成员国组成的常驻代表委员会；一个负责日常管理的秘书处，内设执行主任办公室。专门小组认为，这一结构需要加强，以确保成员国进行适当的监督，同时需要明确职责分工，建立问责制，并有能力及时有针对性地进行决策和采取行动。

32. 有几个原因造成了这一治理结构的不足。理事会提供全面指导，但每两年才开一次会，而且只有有限的能力来应对所出现的问题。常驻代表委员会每年举行四次会议，并监测和审查理事会决议，但没有决定权。根据理事会关于人居署治理改革的第 25/7 号决议，2015 年正式设立方案和预算工作组，常驻代表委员会的监督作用因此在近期得到加强。这个 15 人工作组提供监督，审查预算、工作方案和审计报告，并对常驻代表委员会和理事会负责。然而，即使这样做拓展了监督作用，人们仍然担心，常驻代表委员会缺乏权力，而且有的委员会成员并不同时担任理事会成员，他们的参与导致瓶颈和效率低下；实际上理事会和委员会一起为战略问题和实质性问题提供的反馈十分有限。

33. 秘书处作为人居署的一个执行机构，负责将理事会的决定转化为战略、方案和举措，对这些战略、方案和举措进行管理和监测，并提出战略性建议。大会负责核准经常预算拨款，理事会负责核准普通用途预算拨款，而特别用途预算和技术合作捐款则由执行主任批准。鉴于人居署供资性质的不断变化及其对技术资金的日益依赖，这种安排是有问题的。这意味着，大部分预算不归包括成员国在内的各理事机构监督，从而导致问责问题的出现以及成员国和秘书处之间缺乏信任。更为复杂的是，只有客户国才能报告业务项目情况，因此向理事会提交的信息没有包括项目执行的全部细节。

34. 近年来已就人居署内部改革的必要性进行若干讨论，但成员国之间尚未达成一致意见。考虑到对常驻代表委员会和人居署秘书处进行治理审查期间确定的治理挑战(见 HSP/GC/22/2/Add.3 和 HSP/GC/23/INF/7)，专门小组一致认为，目前的治理模式存在系统性问题，影响到它的问责制、透明度、效率和效力。

D. 伙伴关系

35. 人居署的战略合作伙伴包括政治行为体、民间社会、专业组织和私营部门，这些伙伴既是可持续城市化的倡导者，也是各国城市政策和方案的执行者和监测者(完整清单见附件八)。许多成员国和利益攸关方对人居署成功动员合作伙伴给予好评。但对于人居署将合作伙伴的声音纳入政策设计和业务活动的努力，评价则不那么积极。

36. 人居署还通过区域办事处、联络和新闻办事处和国家办事处的形式，在若干国家设有代表机构。人居署与联合国和非联合国组织、以及政府和非政府组织等不同伙伴开展合作。人居议程合作伙伴包括一系列中央政府以外的组织，人居署已设

立由其中部分代表性伙伴组成的若干专题网络。其他重要合作伙伴包括全球城市观测站、伙伴大会、出席两年一次世界城市论坛的合作伙伴和世界城市运动。³²

37. 一些联合国组织为解决城市问题和促进城市发展开展工作，它们中的每一个都有自己既定的伙伴关系(见附件七)，这些伙伴关系有可能直接或间接融入围绕城市问题开展的工作。同样，人居署开展工作的许多领域是其他联合国组织和外部行为体的主管范围，例如，与城市地区有关的公共卫生问题(世界卫生组织)；随着城市扩张出现的城市土地问题以及与粮食安全相关的问题(联合国粮食及农业组织、世界银行、国际贫民窟居民组织、民间社会组织)；污染、循环经济与可持续消费和生产、可持续建筑环境、适应和减缓气候变化以及沿海城市的具体项目(联合国环境规划署)；城市背景下的儿童(联合国儿童基金会)；难民营的城市化、农村向城市的非正规移民以及城市中的临时性和永久性难民定居点(联合国难民事务高级专员公署(难民署))；城市移民(国际移民组织)；安全城市(联合国毒品和犯罪问题办公室、联合国促进性别平等和增强妇女权能署(妇女署))；城市的艾滋病毒/艾滋病问题(联合国艾滋病毒/艾滋病联合规划署)；权力下放和地方治理以及负担得起的住房政策(联合国开发计划署)；城市财政能力建设和向城市下放国家和国际资金(联合国资本发展基金)。然而，目前尚未建立与其他组织协调开展工作的制度性机制，以避免重复、提高效率或加强政策整合。

E. 财务能力

38. 正如秘书长在其关于改革发展系统的报告中所述，分配给联合国系统的核心资金在过去十年中已有下降，并在继续减少(A/72/124-E/2018/3，第 112 段)；这种情况正在影响联合国各机构整个大家庭。³³ 令人痛苦的是，这种情况在人居署最为显著，这对人居署的工作性质和信誉都有影响。人居署的资金有三个来源：联合国经常预算拨款、人居署和联合国生境和人类住区基金会的捐款和技术合作捐款。经常预算供资和基金会提供的普通用途供资一直在稳步下降(约占 2016 年预算的 7%，如果包括间接费用在内，则为 11.5%)，因此人居署不得不进一步依赖技术合作组合项目及其从基金会获得的特别用途供资，这两项占 2016 年总体供资的比例超过 88%。³⁴

³² 人居署全球城市观测站监测执行人居议程的全球进展情况以及全球的城市条件和趋势。伙伴大会是一个创新、包容和独立的多方利益攸关方伙伴关系平台，召集了超过 1 100 家独特的组织，拥有 58 000 多个从事可持续城市发展工作的网络。世界城市论坛是全世界讨论城市问题的最重要的会议，已成为在国际舞台上就城市挑战交流意见和经验的最开放的集会之一。世界城市运动是一个倡导型伙伴关系平台，旨在使人们更好地认识到积极的城市变革有助于实现绿色、安全、健康、包容、富有成效和规划良好的城市。其目的是把《新城市议程》放在各项发展政策的首位。

³³ 全球政策论坛，“提供给联合国专门机构的摊款”。可查阅 <https://www.globalpolicy.org/component/content/article/133-tables-and-charts/27480-assessed-contributions-to-un-specialised-agencies.html>；Bruce Jenks and others, “Financing the United Nations development system: current trends and new directions” (Dag Hammarskjöld Foundation and the United Nations Multi-Partner Trust Fund Office, 2016)。可查阅 [www.daghammarskjold.se/wp-content/uploads/2016/06/ Financial-Instr-Report-2016-Final-web.pdf](http://www.daghammarskjold.se/wp-content/uploads/2016/06/Financial-Instr-Report-2016-Final-web.pdf)。

³⁴ 人居署管理办公室主任向高级别小组介绍人居署财务状况的发言，2017 年 5 月 6 日。

39. 如上所述,这种依赖业务供资的趋势产生了一些重大影响。这不仅影响到人居署着重开展战略优先事项和规范性工作的能力,而且如前文所述,引起了一些成员国的关注,即人居署越来越像一个咨询机构,因此损害了它在制定规范、标准和政策方面的全球性和区域性作用。资金调动往往受捐助方驱动,走上一条务实道路,但这条道路不利于可预测、可持续的供资,从而导致方案可能不符合任务规定的情况。³⁵ 这一趋势也影响问责制。由于理事会和常驻代表委员会对技术合作预算缺乏控制和全面监督,对人居署供资和活动的控制和监测面临信任缺失和紧张关系加剧等问题,这点在上文也已阐述。一些捐助方直接将这一问题与削减出资挂钩。正如一些专门小组成员所指出,这是一个永无休止的“鸡和蛋孰先孰后”的过程。人居署进一步偏离其任务规定,因此也失去了资金来源方对它的信任。这种情况反过来又迫使人居署进一步依赖恰恰有损其声誉的工作。捐助方已表示,将把自己与人居署的互动水平与人居署即将进行的治理改革挂钩。

F. 评价发现的长处和不足

40. 多年来,人居署通过加强城乡联系、运用其在城市政策和框架方面的专门知识、调动合作伙伴、与地方政府及地方利益攸关方开展合作、强调扶贫并与边缘群体合作,推动了地方治理、权力下放、可持续城市化和人类住区建设,并因此受到认可。但是,大会第 69/226 号和第 70/210 号决议认识到,人居署的各项责任在范围和复杂程度上已发生相当大的变化。专门小组认为,人居署对联合国发展系统几乎没有影响,而且专门小组成员访谈过的许多利益攸关方认为,人居署作为一个组织过于薄弱,无法充分履行其任务规定,也无法实现其潜力。

41. 专门小组承认人居署和整个联合国系统面临的挑战,并承认这些挑战已损害灵活有效应对全球迅猛变化的能力。专门小组一致认为,人居署在问责制、透明度和效率方面存在局限,而且其资源一直不足、没有保障、不可预测,从而使人居署履行其不断变化的任务规定的能力受到影响。人居署的业务职能和规范性职能混杂,往往彼此没有关联,因此成为一个难题,而追逐资金的需要已削弱了人居署在规范性方面发挥牵头作用的规定职责。

42. 目前,各项可持续发展目标的落实情况已受到监测,《巴黎协定》和《新城市议程》已经生效,这些都为整个联合国系统统一城市视角及加强人居署的领导力和合法性创造了前所未有的机会窗口,人居署可以藉此履行其任务规定,并考虑《新城市议程》的跨领域性质和可持续发展目标的深远普世理想。认识到人居署在可持续城市化方面发挥重要作用,但又面临着有损其有效应对能力的各种挑战,专门小组因此建议,首要的优先事项应该是维护、稳定并随后迅速加强人居署,使其根据《2030 年议程》和《新城市议程》发挥新的作用。

³⁵ 《人居署: 2015-2016 年机构评价报告》; 2014-2015 两年期拟议工作计划和预算(HSP/GC/24/5); “人居署 2014-2019 年战略计划实施情况中期评价”, 2017 年 4 月。

四. 新的地平线：落实可持续发展目标和实施《新城市议程》

A. 承诺的范围

43. 2015 年 9 月，各国政府在为通过 2015 年后发展议程而召开的联合国首脑会议上核可了《2030 年议程》的各项可持续发展目标，这些目标代表了致力于在社会、经济和环境方面实现可持续发展的一个雄心勃勃的变革性全球框架，其主要承诺是不让任何一个人掉队。秘书长最近关于重新定位联合国发展系统以响应《2030 年议程》的报告(A/72/124-E/2018/3)强调，《2030 年议程》具有大胆的模式转换性质，联合国系统必须做好准备，以同样大胆的方式支持这项议程。

44. 然而，秘书长的报告实际上没有提到城市地区或者在这方面将要涉及的具体工作。未能把城市背景作为更广泛任务的一个重要方面加以提及，反映了一种更加普遍的现象，即联合国系统内部和发展援助企业均未能认识到城市挑战的程度和影响。这反映于《2030 年议程》的案文，在 17 个目标中只有一个(目标 11.建设包容、安全、有抵御灾害能力和可持续的城市和人类住区)明确关注城市问题。

45. 然而，城市地区在人口上日益占全球人口的大多数，既集中了经济风险也集中了经济发展潜力，容易发生与气候相关的灾害，并且与周边地区休戚相关，这些因素使城市地区不仅与实现《2030 年议程》相关联，而且对于议程能否成功落实、对于各项可持续发展目标在哪个阶段实现或无法实现都具有核心作用。大多数可持续发展目标对城市有影响，因此，如不大力关注城市现实状况的所有表现形式和复杂程度，那么，宏伟的可持续发展目标就无法实现。

46. 《2030 年议程》认识到，世界各地排斥现象的固化会在很大程度上不利于这些目标的实现。可持续发展目标包括关于包容、赋权和平等的许多具有深远意义的政治目标和具体目标，强调消除极端贫困和饥饿以及减少一切形式的贫困是不让任何一个人掉队承诺的一部分。这里涉及的大部分排斥现象与全球对城市化的抵制密切相关。³⁶

47. 可持续发展目标明确了需要实现什么目标，但没有明确如何或由谁来实现目标。实现《2030 年议程》的目标在很大程度上将是汇总地方的各项成果，需要有效、负责任、资金充足的地方政府与私营企业、民间社会和社区协作努力；但这些因素通常被忽视。这种忽视从可持续发展目标的措辞中可见一斑，这些目标主要强调的是国家而不是城市的任务。这些全球目标和具体目标需要转化为支持地方行动者的框架，而且迫切需要更好地了解、支持和资助地方一级的行动。

48. 可以通过良好的地方治理和城市政策基本实现的许多可持续发展目标形成了《新城市议程》的基础，后者是在《2030 年议程》通过一年后作为人居三的成果文件通过的。《新城市议程》虽然是建立在各项可持续发展目标的基础上，但也重申了最早可以追溯到 1970 年代的各项大会决议(31/109, 51/177, 56/206, 67/216, 68/239 和 69/226)。实际上，《新城市议程》旨在落实与城市相关的目标

³⁶ McGranahan, Schensul and Singh, “Inclusive urbanization”, 第 13-34 页。

11 以及应对所有目标对城市的影响。《新城市议程》承认地方行动者的重要性，但它是一个各国政府通过的议程，需要得到各国政府的遵守，并在这方面考虑到对地方行动的影响，以便赋权于地方行动者。

49. 总之，《2030 年议程》和《新城市议程》提出了明确的包容性、变革性目标，但这两个议程都不太明确应通过哪些手段实现目标，特别是在地方一级的城市地区如何实现目标。在这方面存在一些明显的挑战。

B. 挑战

50. 最早在概念上面临的挑战是“城市”的定义，该定义因国而异。专门小组明确呼吁转变观念，转而采取注重地域的做法，将重点放在大都会地区，包括城市、城镇、周边地区及其所包含的村庄。大都市地区以外的小城镇是大量快速增长发生的地方，必须与城乡结合部一起列为城市现实的重要组成部分，这样才能继续关注人类住区这一更为广义的概念。这种更注重地域的框架避免了过于简单的城乡二元化，也避免了将城市和乡村地区相互对立定位、造成城乡竞争稀缺发展资源的风险。这种框架强调城乡联系，承认影响当地人民的问题远远超越了当地，因此解决方案需要不同治理层面和多个行动者的协调关注。³⁷

51. 如上所述，联合国系统内部还没有充分认识到城市化的步伐、规模和影响，城市化仍然是发展话语中的一个部门性问题。对许多成员国而言也是如此，它们仍然缺乏接受城市化现实和潜力的国家政策，也缺乏考虑到城市现实情况的复杂性和连续性的发展战略。许多国家即使设有主管城市事务的政府部委，这些部委也是实力薄弱、资金短缺，而且大部分部长仍然重点关注农村问题。关注农村问题是有道理的，但这些国家尚未准备好应对当前和未来的城市化挑战。若要实现可持续发展目标和《新城市议程》的各项目标，各国就必须将其立法和体制的现实状况与其作出的承诺联系起来。

52. 除了没有认识到接受城市现实情况的核心重要意义，人们也未能重点关注地方和国家以下各级政府在应对发展挑战方面做出的至关重要的贡献。全球承诺与地方议程之间的这种差距必须弥合，才能得到所有伙伴的顺利实施。这将需要重新关注权力下放和多层次治理，并且在许多地方加强机构能力，而资源不足的地方政府在这些方面可能尤其薄弱。

53. 民间社会的作用也被忽视。两项新议程“包容”一词是一个开端。但还须将作为可交付项目成果的参与和“包容”所蕴涵的真正伙伴关系这两者加以区分。许多城市贫困人群已经与地方政府合作伙伴有效合作，以解决他们对安全住房、充分提供服务 and 体面生活的基本需求。这些人群对非正规住区挑战的关注，特别是对遭受驱逐问题的关注至关重要，他们对妇女赋权的关注同样重要。许多这样的人群在国内乃至全球都有网络和联盟为其进行有效代言，这些网络和联盟连接他们在城市内外的组织，而且是代表其成员的强大的政治声音，可以协助成员加

³⁷ Francesco Biciato, “The territorial approach to sustainable human development: the ART Initiative”, paper presented at the III CUCS Congress, Turin, Italy, September 2013; 和联合国开发计划署的文件《支持地方治理和地方发展的综合框架》(2016 年)。可查阅[错误:超链接引用无效。](#)

盟并作出贡献。考虑到这一巨大挑战，忽视这些网络和联盟可以带来的智慧、专长和深刻经验是不切实际的。

54. 将需要相当多的资源，用于机构行为体为管理其职责而开展的能力建设，并用于在全球范围内填补城市居民最基本需求方面不断扩大的巨大缺口。这方面所需的资源数量远远超过双边发展援助和联合国系统发展援助可以提供的资源数量，因此，除了重新思考援助架构，私人 and 公共投资的资金流也必须得到发掘和协调。

55. 这些议程没有充分反映的另一个领域是城市地区日益增多的人道主义危机和紧急状况。这些都对发展议程产生深远影响，因为它们可能会导致基础设施遭到破坏，大量难民和流离失所者日益涌入城市地区，从而给地方政府带来日益沉重的负担，并加剧其他城市居民作出仇外举动的风险。³⁸ 正如秘书长在其关于重新定位联合国发展系统的报告(A/72/124-E/2018/3)中所述，这就要求重新思考人道主义工作与发展援助相分离的传统做法。

56. 支持成员国实现可持续发展目标所需的广泛能力和解决为这种支持提供支撑的体制和财务架构所需的专业知识，分散到多个联合国机构和组织。《新城市议程》是一项跨领域议程，要求把对城市问题的关注融入每一个联合国组织的工作，并落实相关系统和手段来衡量和追踪进展情况。但秘书长指出了无效率重叠这一主要风险(A/72/124-E/2018/3，第 48 段)。确保整个联合国系统将实施《新城市议程》作为主流工作来开展是一项庞大的任务，但也可以说，这项任务与人居署需要开展的倡导工作和规范性工作并没有很好地对接。

57. 同时，如果联合国系统本身没有准备好把城市化作为一个即将影响其所有议程的现象来抓，那么把重点放在针对人居署的具体建议上就很难。这一做法只会继续造成人居署及其任务规定的边缘化。虽然秘书长吁请专门小组提出大胆建议，但必须承认这种限制的存在。鉴于整个联合国系统的改革仍然在不断变化，专门小组承认，人居署拥有灵活敏捷应对的能力以及在机会出现时敏捷识别和抓住机会的能力是多么的重要。

C. 人居署的作用：哪些已明确，哪些有争议，哪些需澄清？

58. 人居署在名义上是联合国系统内负责可持续城市化问题的代表。但是，对于人居署在《新城市议程》和可持续发展目标所涉城市问题上应发挥的作用，存在着不同看法。人居署是处于联合国系统边缘的一个小型机构，其预算和能力远远不足以履行其任务规定。而且，在专门小组约谈或调查的大多数利益攸关方心中，人居署也不具备在这方面发挥牵头作用的实力或公信力。

59. 一些成员国确实认为，人居署应发挥突出作用，牵头执行《新城市议程》；但是，大多数回复专门小组调查的国家强烈认为，执行《议程》不应当是某个单

³⁸ Diane Archer and David Dodman, "The urbanization of humanitarian crises", *Environment and Urbanization*, vol. 29, No. 2 (2017)(即将出版)。

一组织的任务，而是需要联合国各实体和相关利益攸关方之间有效合作，利用各方的专门知识。

60. 《新城市议程》中提到了人居署在联合国系统内作为“一个”可持续城市化和人类住区问题协调中心的重要作用，包括在与联合国系统其他实体协作执行、后续落实和评估新城市议程方面的重要作用(大会第 71/256 号决议，附件，第 171 段)，专门小组认为这句话很重要。《议程》敦促人居署继续开展工作，开发规范性知识，帮助国家、国家以下和地方各级政府在设计、规划和管理城市可持续发展方面发展能力，并为之提供这方面的工具(同上，第 129 段)。《新城市议程》鼓励人居署以及联合国其他方案和机构为执行《议程》创造循证和实际的指导(同上，第 128 段)。《新城市议程》还规定，人居署的任务是与联合国系统其他相关实体的密切协作，协调《议程》执行情况四年期报告的编写工作(同上，第 168 段)。

61. 专门小组在考虑到各种意见和指示之后，认识到联合国系统尚未就联合国不同实体如何处理《新城市议程》执行工作以及《2030 年议程》、特别是目标 11 所涉城市问题制定战略或机制。专门小组还更广泛地关切发展系统内处理城市化问题的总体战略。在确定一个更明确的机制之前，人居署是开展以下工作的适当联合国实体：在联合国系统内以及在外行为体中，围绕城市问题的重要性和地方议程的重大意义发挥倡导作用，并扩大和完善其在这些方面的规范性工作。在这方面，人居署将协助和支持成员国、联合国各组织和其他利益攸关方酌情将《新城市议程》和可持续发展目标中与城市有关的内容纳入其发展业务，并为加强国家一级的城市工作提供指导和工具。

62. 专门小组认为，人居署尤其应在两个具体方面发挥领导作用。第一个方面涉及关于城市规划、立法、规范和标准以及国家城市政策的工作，包括重视权力下放、治理和能力建设。第二个方面是城市公平，消除脆弱性和排斥，确保非正规住区及其所涉问题得到充分承认和解决。

63. 这两个方面密切相关。城市公平和非正规性问题必须通过政策以及适当的规划和标准加以处理。与此同时，政策、规划和制定标准必须立足于普遍存在的现实情况，包括非正规性和排斥程度以及城市地区预计将发生的变化。处理非正规住区并接受对“城市”作出的更宽泛界定，对于制订规范、土地保有制度和基本生活便利的获取具有重要影响。不管存在什么样的包容承诺，人们仍可能继续被对他们不奏效的政策和规划抛在后面。

64. 鉴于专门小组寻求让城市地区在实现可持续发展目标和《新城市议程》(以及其他协定)方面发挥更大的作用，专门小组认识到，除了其设想的人居署职能外，还需要其他支持。专门小组敦促建立一个新的联合国机制，任务是协调所有相关伙伴，并鼓励它们参与必要的转变过程，转向能够认识到城市各地待完成工作的发展重点。建立这样一个机制将为人居署创造空间，使其能够注重和改善规范性任务，突出可持续发展目标和《新城市议程》不让任何一个人掉队的核心任务。专门小组建议，作为联合国全系统改革的部分内容，设立联合国城市机制，即一个类似于联合国水机制和联合国能源机制的协调机制，并在纽约经济和社会事务部为其设立一个小型秘书处。

65. 联合国城市机制作为联合国各机构、基金和方案行动方委员会，将确保整个联合国系统正在处理城市问题和执行《新城市议程》。该机制将为联合国提供一个平台，用以在城市环境内落实可持续发展目标，讨论城市发展贯穿各领域的特点，协调统一各种活动和承诺，从而使各实体在这个平台上可发挥各自的长处并避免重复。联合国城市机制将加强联合国系统的城市业务工作，专门小组认为，这进而将加强人居署的工作。与联合国城市机制类似的模式是联合国能源机制和联合国水机制，后两个机制包括开展相关的业务活动的联合国所有实体，它们作为平等成员参与。专门小组欣赏这一模式的另一原因是，除联合国实体以外，这一模式还将其他利益攸关方吸纳为合作伙伴。就联合国城市机制而言，这些利益攸关方伙伴可包括积极参与城市发展并且有能力和愿意为联合国城市机制的工作作出切实贡献的国际组织、专业工会和协会或其他民间社会团体代表。人居署(发挥其规范作用)和联合国城市机制将一同将各实体聚在一起，使部门间和跨领域对话得以进行。尽管联合国城市机制将独立于人居署，但该机制将与人居署的治理结构进行协调。

五. 更新人居署的任务规定和能力以反映两项新议程

66. 响应《新城市议程》和《2030 年议程》，意味着人居署必须把关注重点转向人类历史上最重要的全球挑战之一：人类从主要生活在农村过渡到生活在城市。由于这一惊人的任务转变，人居署需要在联合国的最高、最广泛的层面上参与。这一过渡进程涉及世界各地所有国家，包括发达国家和发展中国家。

67. 此外，如前文所述，城市化有可能涉及可持续发展目标中的许多主要目标。通过强有力的治理，可持续的城市可以同时解决发展、贫穷、社会隔离、经济机会、流动、服务、住房、卫生等问题，当然还有气候变化问题。城市规模接近和经济集聚效应为制定可产生多重效益的政策和方案提供了巨大的可能性，这些政策和方案应能吸引所有成员国的兴趣和参与。这不仅需要重新界定任务，还需要建立一个新的治理结构，能够为更高水平的参与提供支持，并需要制定筹资战略，从而能够让人居署游刃有余地应对其扩大的任务。

A. 对人居署任务的影响

68. 专门小组在工作中清楚认识到，目前人居署工作中规范性活动和业务活动之间的失衡难以为继，规范性工作应该优先。各方一致认为，从完成规范性任务角度来看，业务工作可能具有战略性。但是，目前主导人居署活动的大部分业务工作并不是为了实现更大的愿景，而是由于需要应对由供应驱动的机会，藉此获得收入来源。问题不仅是应纠正业务和规范性工作之间比例，而是应确保二者相互关联，而且所有活动应以规范性任务为导向，无论二者的比例如何。面临的挑战是，要确保人居署不被迫承担与其总体任务规定不相符的项目。**专门小组建议，所有业务工作都应该与规范性的优先事项明确挂钩，并与总体战略政策和治理监督建立更紧密的联系。**

69. 要纠正和调整这种平衡，就需要强有力的领导力并解决人居署面临的严重资源制约，下文将讨论这两个方面。还需要明确该组织的优先事项。**专门小组建议，**

这方面确定两个优先领域：关注城市发展中的公平、脆弱性和排斥问题；重点关注城市规划、立法、规范和标准，为公平发展方面的优先事项以及环境可持续性和经济稳健发展。

70. 不过，仍需进一步明确规范性任务。尽管人居署乃至联合国系统大多数实体反复强调规范性任务的首要性，但这一概念都不清楚、不准确。这在某种程度上，这反映了“规范性”这个概念本身的模糊性，因为该概念既包括“做事情的正确方式”，也包括“做事情的正确理由”。在极端情况下，这种规范性工作可能既包括关于规划方法的培养，也包括关于规划所依据的价值观的辩论。专门小组主要侧重于前者，但又敦促人居署在界定和落实其规范性任务时考虑到这两种认识。

71. 专门小组建议，在以可持续发展目标和《新城市议程》为指导框架的情况下，人居署规范作用的核心应该是严格侧重于“不让任何一个人掉队”的指示，该指示得到联合国系统认可的人权框架的充分支持。这意味着对成员国进行宣传和监督，以确保其城市工作反映这一指导性的要求，意味着就实现这一目的的最佳手段提供指导。

72. 例如，这意味着确保各国政府及其合作伙伴能够承认和了解非正规问题的负面影响，并采取必要的规划和立法步骤解决这一问题。无论是在住房、设施还是生计方面，贫困人口的非正规解决办法提供了应对排斥的即时解决办法，但也会再次造成这种排斥。将活动或地点定为非正规性质给予了各国政府权力，让它们在本来也可利用法律和规划框架承认和支持非正规解决办法的时候，强行迁移、骚扰、按刑事罪判罚穷人，总体上使他们的生活复杂化。实际的例子不计其数。专门小组建议，人居署应就公平处理非正规问题的实用办法及这些办法依据的价值观提供指导。

73. 这意味着建立正规的框架，使非正规办法变成不必要的，从催生非正规问题的土地保有权法、土地所有权模式以及发展规划办法入手解决问题。这意味着监测强迁活动并制定强有力的法律解决办法，确保以可持续的重新安置办法，解决不可避免的强迁问题，而且重新安置办法必须列入项目预算。

74. 人居署还需要通过其政府伙伴，调解强大的开发商利益和无权无势的非正规社区之间的冲突，确保在制定与规划有关的城市政策和决定时，能够适当考虑到边缘化社区和代表他们的民间社会团体，在可能的情况下让其参与这个过程。在这方面，应要求地方或全球私营部门制定它们在这方面的责任准则。

75. 这种以价值为导向的规范性工作与人居署和其他伙伴承担的业务工作密切相关。在许多地方，迫切需要新的实地解决办法，以产生其他合作伙伴能够采用和推广的规范性成果。如果建立一个方案和项目数据库，并对数据库进行分析，以期确定这些观点如何能够为彼此提供参考以及促进了解和执行更大的规范性任务，则将有助于形成不断发展变化的迭代认识。专门小组建议编写明确的文件，说明规范工作与业务工作之间的互补性，以及每个项目区分规范工作和业务工作的方式。

76. 实现两个新议程的目标需要在城市发展的许多实际领域(仅举几例，如提供基本服务、减缓和适应气候变化、应对紧急情况和安全城市)开展重要工作。需要

更大力度地鼓励联合国系统其他机构加强这些努力，人居署将在某些情况下制定解决办法，但将始终帮助这些机构坚持重视包容性，将包容性作为平衡、可持续地实现城市发展的至关重要一环。可持续发展目标和《新城市议程》的综合任务意味着各组织需要转变工作方式，而人居署可以为实现这一转变发挥作用。

77. 在这方面，关键是要改进数据以支持这项工作。人居署解决城市地区内部包容性问题的的工作揭示了一些非常具体的漏洞。城市居民中有很大部分生活在非正规住区，他们常常未在正式数据系统中登记，特别是有越来越多的难民进入城市地区而不是正式的紧急营地生活。即使收集了数据，也存在分类问题。数据往往按农村和城市平均值来表示，这不能反映城市面貌的复杂性以及城市地区内部巨大的差异。秘书长在报告中强调指出，数据分类对于实现不让任何人掉队的目标非常关键，并着重指出需要改进联合国系统妥善管理数据的能力，以便形成新的见解(A/71/124-E/2018/3，第 39 段)。应努力记录城市的各种现况，无论是通过加强正规系统还是通过支持现有的非正规策略的方式，如支持城市贫困人口联合会开展的详细调查，这对于完成该任务至关重要。³⁹ 关于可持续发展目标的国家报告必须纳入各种形式的地方数据，包括但不限于非正规住区公民主导收集的数据、城市政府报告的标准化数据、卫星数据和大数据。**专门小组建议，人居署在发挥数据支助作用时，应特别关注数据收集和分析方面的漏洞，这些漏洞掩盖了受排斥群体的实际情况。**

B. 所涉治理问题

78. 专门小组认为，人居署的治理和管理结构未能满足其有效、反应迅速、及时地作出决策的需要，也未能让成员国进行足够的监督，以确保人居署在问责制和透明度方面有良好声誉。这些关切导致成员国的政治承诺减少，并在经常资金已变得更少、更难以预测的情况下，造成了资源限制。在可持续发展目标和《新城市议程》的指引下变得更明晰的另一个令人关切的问题是，人居署当前治理结构很封闭，显然未能反映在人居署多方行为体参与情况下发展格局所具有的的复杂性。

79. 需要一个新的治理结构，以解决信任问题，让新的、更广泛的伙伴参与。专门小组建议进行一些根本性的变革。首先是实行普遍成员制，纳入所有 193 个会员国(而不是目前的 58 个理事会成员)。第二，增设一个政策委员会，比目前的常驻代表委员会(仍将保留)规模小，重点更突出，负责整合各利益攸关方、地方政府和联合国城市机制正式提出的意见和建议。

80. 专门小组认为，实行普遍会员制的理由显而易见。可持续城市化是一个影响深远跨领域议程，被理解为上文所述的地域性发展，因此需要采取全系统办法，并根据成员国的经验和实际情况制定全球立场。那些已经完成城市转型的国家和那些正在经历快速城市化过程的国家可以一起制定有助于促进包容性和可持续发展的政策，避免国际讨论中持续存在的城乡差距问题。城市化及其产生的社会、环境影响以及城市化所需的资源都事关重大，但人们尚未充分认识到这一点。需

³⁹ Anni Beukes, “Making the invisible visible: generating data on ‘slums’ at local, city and global scales”, working paper (London, International Institute for Environment and Development, 2015)。可查阅：<http://pubs.iied.org/10757IIED/>。

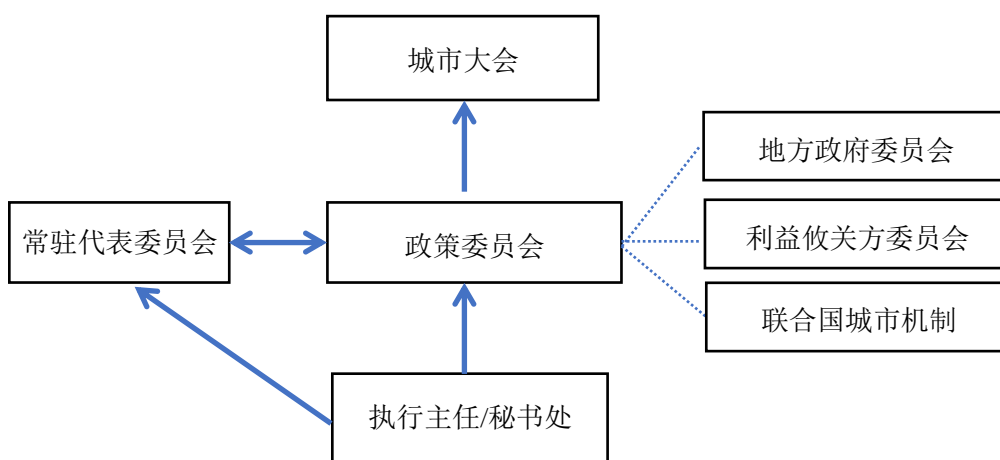
要所有成员国形成这样的认识，而不只是少数国家。区域之间和区域内部的平衡是人居署治理结构应采取普遍会员制的另一个主要原因。希望普遍会员制还能让更多国家发挥主导作用，形成更公开、更具参与性、更透明的程序，让各国政府在作出支持城市化及构建更加包容、更可持续世界的决定方面有平等的话语权。

81. 让更广泛的非联合国成员参与的理由也同样充分。市长、民间社会代表、私营部门行为体和许多其他地方利益攸关方是实现城市发展的主要力量，对于实现两个新议程的变革性目标至关重要。许多这样的地方行为体目前都参加人居署的活动，而且是制定《新城市议程》过程中的关键角色，但该组织的治理结构或问责框架中却没有让这些合作伙伴参与的正式机制。如果能通过一种正式的身份，承认他们的宝贵贡献并将之制度化，将直接在该组织治理框架内纳入包容各方的任务规定，以此展示其深刻的承诺。

82. 在提出建议时，专门小组认真考虑了各种可能的治理模式。除普遍会员制外，专门小组的最佳解决方案中本来还将包括一个正式机制，让地方政府及其他城市利益攸关方的代表作为一个三方治理机构的成员充分参与。这种结构的一个先例是国际劳工组织的三方治理结构，其中包括一个理事机构，成员国占该理事机构成员的 50%，雇主代表和工人代表各占 25%。但是，专门小组表示注意到，人居署要建立类似的三方机构目前面临着法律限制。专门小组遗憾地认识到当前没有机会实现这一最佳解决方案后，转而提出了该模式的变化形式，根据咨询意见，这样的形式在法律上是可行的。专门小组建议实行一种新的治理结构，其中除普遍会员制外，还包括地方当局和国家以下各级政府委员会和城市利益攸关方委员会，这些委员会有能力评价和审查决议并向政策委员会提供协调一致的指导。

83. 为了满足这项要求，专门小组建议人居署建立下列混合治理结构(如下图所示)，这一结构仿照了联合国环境规划署的普遍会员制，还设立了一个地方政府委员会和一个利益攸关方委员会的正式机制。

人居署的拟议治理结构



84. 这一新的治理结构将接受城市大会领导，城市大会是最高决策机构，为人居署的工作提供全面战略框架和指导。它与现有的理事会的不同之处主要在于它实行普遍会员制，上文已经概述了理由。城市大会将每两年举行一次会议，与世界

城市论坛隔年交错举行，以便将论坛成果纳入人居署战略计划。城市大会的会议还可与联合国环境大会进行协调，以举行一个为期一天的联合会议，讨论共有的议程问题和可能的联合工作方案。为进一步加强和促进城市议程，城市大会可考虑在联合国大会届会期间在内罗毕和纽约交替举行会议，以利用举行交叠会议的可能性。**专门小组建议，人居署在安排会议时间表和地点时，应尽最大可能使其与联合国环境大会和联合国大会的时间和地点重合。**

85. 城市大会将在地方政府委员会、利益攸关方委员会和常驻代表委员会提供投入的情况下，核准工作方案和预算，确定规范和业务方面的期望，提名政策委员会成员，核准政策委员会的决议和建议。城市大会还将设定实现可持续发展目标以及城市和人居议程中其他承诺的愿景，提倡变革性的城市化进程的作用和贡献，分享和交流战略及解决办法。

86. 城市大会将由拟议的政策委员会协助，后者由 20 名成员组成，每个区域 4 名，成员由城市大会选出，任期三年，每年举行两次会议。政策委员会是对治理结构的重大改革，是一项创新性的补充，它对项目进行监督，向城市大会提供政策和战略咨询意见，并确保其所作决定参考地方政府、利益攸关方和成员国的意见。政策委员会实际上是融合所有投入的一个交汇点。政策委员会和常驻代表委员会的任务列于下表。除其他外，政策委员会对于人居署实现更大透明度的努力非常关键。无论是规范性项目还是业务项目都将按照一年两次的周期提交委员会审查，信息将保存在一个可访问的数据库中供所有人查阅，任何关切都可以与委员会讨论。这可以解决许多信任问题。

87. 地方政府委员会将包括 10 名地方/国家以下各级政府代表，每个区域 2 名；利益攸关方委员会将包括 10 名民间社会代表，5 名城市专家和 5 名私营部门代表，在 5 个区域间平均分配名额。两个委员会的委员将由其代表机构提名，经城市大会选举产生，任期两年，不得连任。所有合作伙伴均有资格提出申请。

88. 这两个委员会将审议政策委员会要处理的问题，为政策委员会的所有决定提供正式投入，在讨论中占有一席之地，并有持续反馈的机制，以确保政策委员会充分了解各种观点。与政策委员会进行讨论之前，这两个委员会将一起举行会议，协调它们的审议意见。这将是一个开创性的伙伴关系，让地方当局和国家以下各级政府以及城市利益攸关方能够就核心治理问题提供投入和战略指导。

89. 除这两个委员会的投入外，政策委员会还将参考联合国城市机制的投入，该机制作为一个城市事务协调机制，对人居署的战略方向至关重要。该机制提供的关于联合国各实体和布雷顿森林机构的城市工作及经验教训的投入将补充地方政府和利益攸关方群体的观点，供政策委员会审议时参考。需要讨论如何采取最切实可行的方式，确保这两个重要机构定期提供投入。

90. 鉴于成员国的重要性，常驻代表委员会将保留其开放成员制和大部分现有职能，继续每年举行四次会议，作为监督机制发挥作用，与政策委员会建立一种相辅相成的关系。该委员会直接与人居署秘书处及执行主任合作，以期提出构想、确定问题和编写信息，并将这些构想、问题和信息提供给政策委员会。

政策委员会和常驻代表委员会的职责

政策委员会	常驻代表委员会
主要管理与协调职责	向政策委员会提供关于预算、业务和项目的投入
主导制定和更新战略计划	为战略计划提供投入
审查人居署重大举措的进展情况和成果	审查具体活动并向政策委员会报告
编写城市大会决议	帮助编写决议
审查并核准执行主任编制的年度预算和预测	审查执行主任编制的年度预算和预测
监督筹资活动	支持筹资战略
编写提交城市大会的报告	每两年审查一次提交城市大会的概览报告
与常驻代表委员会、城市大会、秘书处和两个委员会互动	仅与政策委员会和执行主任/秘书处互动

91. 执行主任将向政策委员会报告工作方案和预算，包括技术合作和专款项目。应该有一套明确界定、存在扩充可能性的标准，为核准技术合作和专款项目提供依据，这些项目应始终支持规范性任务规定。秘书处的作用和职能将保持不变。专门小组认识到，执行主任的职责涉及到多重报告关系，包括向经济及社会理事会、秘书长办公厅以及就预算问题向第五委员会报告，但向政策委员会报告体现了秘书处与人居署治理结构的内部关系。

92. 这一改进革新后的治理结构的目标是有效、包容、透明和可问责，以便应对城市议程的跨领域特点，增加与联合国业务实体的互动协作，从而更有效地把城市问题纳入联合国业务工作的主流，让地方政府和城市利益攸关方有参与的机会。将尽一切努力确保它们的参与是实质性的、有意义的，尽管根据《联合国宪章》它们不能成为有投票权的成员。

93. 这些治理机构的所在地也很关键。专门小组认为，为了加强治理和管理，人居署需要利用其总部设在内罗毕的比较优势，这使得该组织处于城市化速度最快的区域之一，并使其所在地与其工作高度相关。

94. 为改善治理和管理，还应加强与纽约联合国秘书处的联系和关系，一些预算决定是在纽约作出的，联合国总部也设在纽约。为加强协调并与在纽约的联合国实体建立更牢固、更密切的关系，专门小组建议增加在纽约的工作人员，特别是高级工作人员。

95. 专门小组认为，人居署还应审查其各区域办事处的地点，并考虑将它们移至各区域委员会所在的城市。秘书长关于重新定位联合国发展系统的报告将这些委员会提升到区域一级智库的高度，负责就全区域优先事项、创新、发展筹资问题和跨界问题提供世界一流的分析和知识。迁移和调整人居署各区域办事处将确保人居署能够利用关于区域问题的更好的研究和分析，以支持其规范性工作和业务工作，进而根据其自身的城市规范工作建立坚实的证据。这将意味着从里约热内

卢迁至圣地亚哥(拉丁美洲和加勒比);从福冈迁至曼谷(亚洲和太平洋);从开罗迁至贝鲁特(阿拉伯国家);从内罗毕迁至亚的斯亚贝巴(非洲)。

96. 纽约不是唯一需要增加工作人员的地点。根据人居署的现有能力、其他组织的情况以及全世界最佳可用人才的状况,专门小组建议,人居署应更普遍地调整其在内罗毕、纽约和各区域办事处的人员配置,实现性别均等,以履行其支持成员国、国家以下各级政府和联合国国家工作队的使命和任务规定。

C. 伙伴关系方面的影响

97. 人居署能否成功发挥作用,不仅取决于对各级政府的认可,而且还取决于对许多至关重要的城市发展非国家行为体,其中包括民间社会和私营部门的认可。这种认可的切实体现就是建立伙伴关系。关于人居署伙伴关系的评估显示,该组织在调动伙伴方面取得了成功,但也提出了之后的参与质量问题,以及根据伙伴关系开战的方案活动的问题。还需要考虑的一点是,要重视那些能够在可持续发展目标和《新城市议程》内最有效地加强对包容问题的密切关注的合作伙伴。

98. 包容性是人居署重新调整后任务的核心,对人居署伙伴关系有重大影响。如果伙伴关系是基于以真正包容为使命,而不是仅仅为了交付项目成果而进行参与,这就意味着让可能历来没有参与席位的利益攸关方有一席之地。专门小组建议的治理结构体现了这种新的伙伴关系安排,这种安排第一次让地方政府和国家以下各级政府以及其他利益攸关方可以发挥更为突出的作用,并让它们从单纯进行参与转向开展积极协作。如何选择这些代表至关重要,最好的办法应该是在其代表机构自我组织的基础上开展这项工作。

99. 秘书长在其关于重新定位联合国发展系统的报告中强调,联合国发展系统必须随时准备支持各国对考虑到最弱势和最受排斥群体的需求的包容性联盟和参与性规划进程的要求(A/72/124-E/2018/3,第43段)。就人居署治理体系及其在伙伴关系方面的总体做法而言,这意味着需要优先考虑那些同样致力于帮助弱势和受排斥群体,并有可以分享的经验 and 已得到证明的成功经历的合作伙伴。

100. 地方政府和区域政府在解决实地的排斥问题方面参与最多,因此它们必须在人居署伙伴关系名单中占据优先地位。目前,人居署主要通过大会成员国与国家以下各级政府进行互动。专门小组认为,有必要建立更直接的关系,推动向地方一级议程的转移,该议程必须是《新城市议程》的有机组成部分。这项工作部分由地方政府委员会和利益攸关方委员会完成,但是,与地方政府代表组织或受排斥城市群体的代表组织建立更广泛的关系也可能有所帮助。专门小组建议探讨与地方政府代表组织和民间社会代表组织之间的关系,并加强与联合国国家工作队和各区域委员会的伙伴关系。

101. 人居署与私营部门之间的互动是其规范性工作的一个重要方面。考虑到私营部门在城市发展中发挥如此巨大的作用,并往往带来深远的不良影响,对受排斥群体而言尤其如此,因此专门小组建议人居署探讨如何鼓励私营部门行为体审视其投资所产生的意料之外的不利影响,并设法减轻这些影响。

102. 人居署在发展自身的伙伴关系的同时，还应该发挥作用，鼓励、协助并加强其他重要伙伴关系，例如国家政府与国家以下各级政府，特别是地方政府之间的关系；在权力下放方面，说的较多，但是地方政府在很大程度上依然缺乏独立性和财政资源，无法适当履行全面责任。地方政府与民间社会，尤其是代表受排斥群体的民间社会之间的重要关系也极为关键。这种关系在处理城市排斥和非正规性问题中发挥核心作用。即使是对于致力于民间社会参与、主张进步的地方政府而言，建立当地居民参与机制同与代表妇女和城市穷人等受排斥群体的现有组织建立关系两者之间还是存在重大差异。其中许多组织与当地居民建立了长期关系，对实地现状有深入了解，并且在处理受排斥的城市居民所面临的许多物质匮乏和政治缺陷问题方面，与当地政府有良好的合作业绩。⁴⁰

103. 一些伙伴关系可以直接处理排斥问题，另外一些伙伴关系可以为这项工作提供资金和支持。同联合国发展系统的其他机构一样，加强财政对人居署至关重要，这就需要建立伙伴关系，以便能够利用新的供资来源。本报告下一节就此进行了更充分的讨论。

104. 人居署参与联合国城市机制的工作也至关重要，因为后者的作用是召集协调联合国系统内外各实体，开展包容和可持续城市化的重要工作。

105. 世界城市论坛是召集伙伴和推动伙伴关系的一个有益平台；专门小组建议让该论坛成为一个长期活动，从而使其无需每两年申请核准和筹款。专门小组建议，将世界城市论坛制度化，以帮助保持《新城市议程》在全球议程中的稳固地位。此外，专门小组建议将该论坛的成果纳入人居署战略计划、工作方案和预算。为此，应该编写一份提交政策委员会的成果报告，以便将其纳入提交给城市大会的决议。

D. 筹资方面的影响

106. 人居署用于核心职能的资金不可预测且不充足，而且存在治理问题，这是造成人居署存在其他薄弱环节的根本原因。人居署迫切需要获得更有保障的供资，这不仅仅是为了总体改善业绩，而且也是为了使它能够落实《新城市议程》方面有效发挥作用，支持各国为履行人居署的任务规定作出的努力。至关重要的是，不仅要增加成员国经常捐款，以支持这项城市工作，而且还要探索新的创新型筹资模式。

107. 最紧迫的问题是，需要更多资金来支持为人居署重新确定的规范性工作重点。这首先意味着增加成员国承诺的非专用资金。成员国的经常预算摊款是根据商定公式计算的，但它们还可以向人居基金会的非专用资金提供更多自愿捐款。为此，就要激发成员国对人居署使命的热情，重振成员国对人居署及其资金管理和使用方式的信心。有关透明度的关切主要在上文治理章节作了阐述，希望改革后的架构将鼓励增加核心供资。还希望，普遍成员制将使各方更普遍地致力于城市工作，进而在更大范围内提供支持。拟订年度预算，使成果与任务挂钩，同时

⁴⁰ Mitlin, “With and beyond the state”。

使预算和成果与每年予以跟踪且每四年进行独立审查的联合国发展系统设定的优先事项保持一致，将有助于拟订与支出框架和中期计划配套的稳定筹资安排。落实适当的问责机制将有助于保障人居署的资金。为了启动这一支助，专门小组建议紧急呼吁成员国提供多年承付资金支持人居署。此外，专门小组建议人居署拟订四至五年中期展望计划和支出框架。

108. 专门小组注意到，成员国对其自愿捐款用于人员编制和其他行政费用而非规范性工作的比例表示关切，因为从有关预算类别的现有资料中无法轻易区分这两种用途。除了采取其他措施加强透明度之外，专门小组还建议人居署明确说明用于人员编制和其他行政费用的核心资金比例，并设定该数额的上限。

109. 另外，可以通过提高规范活动的可用资源比例来加强对规范性工作的支助。为了配合提高透明度的举措，可以向寻求技术合作和特别用途项目的捐助方和各国政府明确说明，人居署不接受没有规范性内容的项目，并说明所有项目均须满足特定标准，例如，关于项目对知识、创新和可扩放性，以及更普遍地对可持续性和包容性所作贡献的标准。专门小组建议，将一定比例的专用技术合作资金专门用于与规范性任务相关的方面，并强烈建议设定用于业务工作的成员国专用资金限额。

110. 专门小组认为，可能还有另一种解决办法，即将人居署经常预算拨款改为赠款，从而增强该组织的管理灵活性和应对能力，同时又不影响其作为联合国秘书处的组成部分。目前，赠款模式使妇女署和难民署可以采用不是联合国秘书处供资的其他基金和方案所采用的相同财务细则和条例。赠款模式将不会改变规划和报告要求，但是可以提高人居署灵活使用资源的效率和能力。⁴¹ 专门小组建议人居署探讨赠款模式的好处。

111. 除了采取激励办法并有效使用现有资源之外，专门小组明确指出，需要探索新的创新性筹资来源，不仅是用于人居署活动，而且是用于推动可持续和包容的城市化这一更普遍的任务。在专门小组磋商期间，有一个主题反复出现，即人们认为，联合国应更全面地超越日益减少的传统供资，汇集不同利益攸关方，以利用包括公共和私人资源在内的其他资源，包括全球资金和专门银行的资金。专门小组建议，人居署应拟订与多边银行、金融机构和私人资金来源的合作战略，以增加用于推动包容和可持续的城市化的现有资源。

112. 另一个潜在的新供资来源是积极参与并致力于城市议程的地方行为体。通过地方政府委员会和利益攸关方委员会让地方和国家以下各级政府机构和其他利益攸关方参与人居署工作，就可以借此机会利用其专门知识，而且更广泛地发挥代表作用，并鼓励它们作为伙伴和捐助方参与更大规模的工作。专门小组建议人居署探讨人居署与地方行为体关系中存在的供资和筹资潜力。

113. 不妨将多利益攸关方平台作为新筹资来源的侧重点，该平台将由一个专门基金代表。这种基金与性别平等基金类似，性别平等基金是一个专门用于增加妇

⁴¹ Stein-Erik Kruse, “Governance options: governance review process: UN-Habitat”, 2013 年 2 月。

女在地方和国家两级的经济机会和(或)政治参与方案的多捐助方举措。这样，联合国城市机制将有一个多利益攸关方平台，以调动伙伴关系，增加支持相关城市工作的资金，并将一定比例的资金分配给人居署规范性工作和政策整合工作。这一财政平台有助于推动公平和包容的城市治理新战略，让人居署协助并支持各国探索这些可能性。这种全球基金可能发挥推动作用，帮助调动伙伴并吸引新捐助方为全球相关项目供资。例如，新的合作伙伴和捐助方可以包括私营部门(例如公司和基础设施银行)和慈善组织。联合国系统已提供减税的好处，这应该进一步激励慈善组织支持这种基金。专门小组一致认为，要拓展供资模式，就必须做到完全透明，并向成员国和捐助方披露账户，以保证诚信并在未来吸引捐助方。专门小组提议设立一个全球专门基金，确保可持续城市化工作拥有一个替代供资平台。

六. 结论

114. 设立专门小组的目的是评估人居署业绩，并评估人居署是否有能力回应成员国在《2030 年可持续发展议程》和《新城市议程》背景下提出的新愿望和作出的新承诺。专门小组就许多领域达成了共识，并一致认为，尽管人居署面临严重制约并存在重大缺陷，但目前其作用比以往任何时候都更加重要。

115. 城市面临日益增长的巨大挑战，城市人口也在不断大量增加，因此全球可持续发展也将日益紧密地与城市地区的活动相联系。这一现状无可避免，而《2030 年议程》和联合国系统更宏大的愿景在总体上对城市关切问题给予很少关注，对于弥合这两方面的差距，城市倡导者不仅非常重要，而且极为必要。该倡导者所开展的工作不能取代整个联合国系统及其成员国和成员国各级政府的协同努力，但是它可以为这些努力提供指导和信息，确保对城市的关注是稳定持续的，确保这种关注以“不让任何一个人掉队”的可持续发展目标要求为出发点，同时确保充分认可并支持那些在实现目标方面身处第一线的地方行为体。

116. 专门小组进一步细化了人居署的作用，并为此确定了两个密切相关的优先事项：解决城市地区的排斥问题，尤其是非正规性造成的限制；支持相应的国家城市政策以及城市规划和立法并提供指导。本报告明确规定了“城市”的定义，即涵盖城市现况的各方面，其中包括整个都市地区、不断扩大的城市周边地区、迅速增长的小城镇以及各种规模的人类住区之间的重要联系。

117. 人居署要想发挥这一作用，就必须消除以下方面的系统性局限：治理架构存在问题，没有成员国的监督；财政日益紧张；其活动组合由资源驱动，越来越使其偏离规范性任务。专门小组对如何处理这些紧密关联的问题提出了明确建议：治理结构实行普遍会员制，同时让地方行为体发挥强有力的代表作用；重新致力于以规范性任务为主题，尤其是优先考虑包容性的工作方案；创造性地探索新筹资模式，以配合为确保成员国和其他方面提供更多、更可预测的捐款而开展的工作。

118. 专门小组确认，除了发挥这一作用之外，还需要在鼓励成员国和其他伙伴并推动其有效合作方面开展大量协调。专门小组还建议设立联合国城市机制这种协调机制，补充和促进人居署所发挥的更规范性的作用。

119. 各方敦促专门小组就以下方面提出大胆建议：提高人居署效力、效率、问责和监督，确保它能胜任满足可持续的包容城市发展方面的要求这项工作。人居署要想胜任这项工作，就要加强透明度，应对迅速变化的全球和城市状况，灵活地随时抓住机会并在面对不断变化的挑战时采取行动，同时有能力在自身的治理中做到包容，并推动把包容作为一种更普遍的价值观。专门小组表示关切的是，考虑到法律和行政制约因素在现实中发挥限制作用，提出大胆建议的可能性有多大。专门小组最紧迫的建议是，在更广泛的联合国改革进程中，考虑如何能够消除阻碍创新型解决办法的体制障碍，以便更有效地实现其深远的变革目标，造福全世界。

七. 建议

专门小组的任务

120. 设立负责编写本报告的专门小组是为了对人居署开展独立、客观的循证审查和评估，并在四个具体领域就改善方案效力、效率、问责和监督提出建议：制订规范和开展业务方面的任务规定、治理结构、伙伴关系和财务能力(见上文第 15 和 17 段)。

人居署的作用

121. 专门小组认识到人居署在处理可持续城市化问题方面发挥核心作用，但人居署面临的挑战影响了其有效应对的能力；因此，专门小组建议，首要的优先事项应该是维护、稳定并随后迅速加强人居署，使其根据《2030 年议程》和《新城市议程》发挥新的作用(见第 42 段)。

122. 专门小组认为，人居署是开展以下工作的适当联合国实体：在联合国系统内以及在外行为体中，围绕城市问题的重要性和地方议程的重大意义发挥倡导作用，并扩大和完善其在这些方面的规范性工作。在这方面，人居署将协助和支持成员国、联合国各组织和其他利益攸关方酌情将《新城市议程》和可持续发展目标中与城市有关的内容纳入其发展业务，并为加强国家一级的城市工作提供指导和工具(见第 61 段)。

123. 为补充人居署的作用，专门小组建议，作为联合国全系统改革的部分内容，设立联合国城市机制，即一个类似于联合国水机制和联合国能源机制的协调机制，并在纽约经济和社会事务部为其设立一个小型秘书处(见第 64 段)。

人居署的任务规定

124. 专门小组建议，在以可持续发展目标和《新城市议程》为指导框架的情况下，人居署规范作用的核心应该是严格侧重于“不让任何一个人掉队”的指示，

该指示得到联合国系统认可的人权框架的充分支持。这意味着对成员国进行宣传和监督，以确保其城市工作反映这一指导性的要求，意味着就实现这一目的的最佳手段提供指导(见第 71 段)。

125. 专门小组还建议，所有业务工作都应该与规范性的优先事项明确挂钩，并与总体战略政策和治理监督建立更紧密的联系(见第 68 段)。

126. 专门小组建议，在这方面确定两个优先领域：关注城市发展中的公平、脆弱性和排斥问题；重点关注城市规划、立法、规范和标准，为公平发展方面的优先事项以及环境可持续性和经济稳健发展(见第 69 段)。

127. 专门小组特别建议人居署就引发非正规性的排斥问题提供指导。在包括既要采取切实办法，公平解决非正规性问题，也要树立这些办法所依据的价值观(见第 72 段)。

128. 建议拟订清晰的项目文件，说明规范工作与业务工作之间的互补性，以及每个项目区分规范工作和业务工作的方式(见第 75 段)。

129. 在界定“城市”这一用语时，专门小组呼吁转变观念，转而采取注重地域的做法，将重点放在大都会地区，包括城市、城镇、周边地区及其所包含的村庄，避免采取过于简单的城乡二分法(见第 50 段)。

130. 专门小组建议，人居署在发挥数据支助作用时，应特别关注数据收集和分析方面的漏洞，这些漏洞掩盖了受排斥群体的实际情况(见第 77 段)。

治理

131. 专门小组一致认为，现有治理模式存在系统性问题，影响到问责、透明度、效率和效力，并建议实施根本变革，侧重点是必须让所有成员国参与，并能反映有多个行为体参与的城市发展复杂状况(见上文第 34 和 79)。

132. 专门小组建议设立新的治理结构，在城市大会的总体架构中实行包括所有 193 个成员国的普遍成员制，并增设一个规模小、重点突出的政策委员会，以提供项目领域的政策和战略咨询，开展监督。政策委员会将整合来自以下各方面的投入：常驻代表委员会、人居署秘书处和执行主任以及代表地方当局和国家以下各级政府的委员会和代表城市利益攸关方的委员会；这两个委员会都将有能力评价和审查决议，并向政策委员会提供协调一致的指导。联合国城市机制也将向政策委员会提供咨询意见(见第 82 段)。

133. 专门小组建议城市大会在安排其会议时间和地点时，尽量使其与联合国环境大会和大会的时间和地点保持一致(见第 84 段)。

134. 人居署还应在纽约有更多工作人员，特别是高级工作人员，以便与纽约的联合国实体开展更好协调并建立更密切的关系(见第 94 段)。

135. 人居署应更普遍地调整其在内罗毕、纽约和各区域办事处的人员配置，实现性别均等，以履行其支持成员国、国家以下各级政府和联合国国家工作队的使命和任务规定(见第 96 段)。

伙伴关系

136. 为了建立并维持积极、有效和包容的伙伴关系，推动实现包容各方的任务，专门小组建议人居署探讨建立并加强与地方政府和民间社会代表组织之间的伙伴关系，同时加强与联合国国家工作队和各区域委员会之间的伙伴关系(见第 100 段)。

137. 专门小组还敦促人居署探讨如何鼓励私营部门行为体审视其投资带来的意料之外的不利影响，并设法减轻这些影响(见第 101 段)。

138. 最后，专门小组建议将世界城市论坛制度化，以帮助维持《新城市议程》在全球议程中的稳固地位，并建议将该论坛成果纳入人居署战略计划、工作方案和预算。为此，应该编写一份提交政策委员会的成果报告，以便将其纳入提交给城市大会的决议(见第 105 段)。

财务能力

139. 专门小组建议紧急呼吁成员国提供多年承付资金支持人居署。此外，专门小组建议人居署拟订四至五年的中期展望计划和支出框架(见第 107 段)。

140. 为了鼓励成员国提供自愿捐款，专门小组建议人居署明确说明用于人员编制和其他行政费用的核心资金比例，并设定该数额的上限(见第 108 段)。

141. 为了提高规范工作的优先程度，专门小组建议将一定比例的专用技术合作资金专门用于规范性任务，并强烈建议设定用于业务工作的成员国专用资金限额(见第 109 段)。

142. 专门小组建议人居署探讨赠款模式的好处，该模式将提高人居署的管理灵活性和应对能力，又不影响其联合国秘书处成员的身份(见第 110 段)。

143. 为了探索新的创新型供资来源，增加包容的可持续城市化的可用资源，专门小组建议人居署拟订与多边银行、金融机构和私营供资来源的合作战略。还可以探讨地方城市关系中存在的供资和筹资潜力(见上文第 111 和 112 段)。

144. 最后，专门小组建议设立一个全球专门基金，确保可持续城市化工作拥有一个替代供资平台(见第 113 段)。

Annex I

Biographies of members of the High-level Independent Panel to Assess and Enhance the Effectiveness of UN-Habitat

Co-Chair: H.E. Rosario Robles, Secretary of Agrarian, Territorial and Urban Development, Mexico

Rosario Robles is the Secretary of Agrarian, Territorial and Urban Development of Mexico. She served as Federal Representative for the fifty-sixth Congress, from 1994 to 1997, Secretary of Government of Mexico City between 1997 and 1999, and in 1999, was sworn in as Mayor of Mexico City, the first and only woman to run the city. Ms. Robles served as President of the Party of the Democratic Revolution in 2002. Under the current Federal Government, from 2012 to 2015, she served as Secretary of Social Development, during which time she coordinated Mexico's new generation social policy and launched the "National Crusade against Hunger".

She holds a bachelor's degree in economics from the National Autonomous University of Mexico and master's degree in rural development from the Autonomous Metropolitan University. Her political career has been characterised by her dedication to empowering women and guaranteeing gender equality in the public sphere, and combating poverty.

Co-Chair: Hon. Mpho Parks Tau, President of United Cities and Local Governments and President of the South African Local Government Association

Mpho Parks Tau is the President of United Cities and Local Governments and the President of the South African Local Government Association. As a member of the Johannesburg Mayoral Committee President, from 2000 to 2011, Mr. Tau drove the city's socioeconomic transformation agenda. During this time, he headed the portfolios of Development Planning, Transport and Environment, and Finance and Economic Development. Mr. Tau served as the second democratically elected Executive Mayor of Johannesburg from 2011 to 2016. He is also the Chairperson of the South African Cities Network.

Mr. Tau holds a Post-Graduate Diploma in public management from Regenesys and a Master of Science in public policy and management from the University of London.

H.E. Pontso S.M. Sekatle, Member of Parliament for Qacha's Nek Constituency, Lesotho

Pontso S.M Sekatle is a Member of Parliament for Qacha's Nek Constituency and was elected in 2002, 2007, 2012, 2015 and 2017 General Elections. In June 2001, Dr. Sekatle was appointed to the Senate, and in July 2001 she became Minister of Health and Social Welfare. Following the 2002 General Elections she was appointed Minister of Local Government and Chieftainship and mandated to deliver the first local government elections since 1968. The first Local Government Elections were held in April 2005 and Dr. Sekatle handled the local government portfolio until 2012. Following the 2015 General Elections she was again appointed Minister of Local Government and Chieftainship.

Dr. Sekatle has headed various executive committees, such as the Lesotho Congress for Democracy Women's League and Democratic Congress Women's League. She also served as Deputy President for the African Association for Public Administration and Management; Deputy President for the Commonwealth Local Government Forum, Director of the United Nations Educational, Scientific and Cultural Organisation (UNESCO) in Lesotho, and as board member of Lesotho National Development Corporation. She has published in the fields of public administration, governance and institution building.

Hon. Anne Hidalgo, Mayor of Paris, France

Anne Hidalgo is the Mayor of Paris, France, elected in 2014, the first woman in this position. She is a former labour inspector, having joined the Socialist Party in 1994. In 1997, she joined the cabinet of Martine Aubry, then-Minister for Employment and National Solidarity. As First Deputy to Bertrand Delanoë, Mayor of Paris, for 13 years, she headed the list of the Paris Left in its successes in the regional elections of 2004 and 2010. Mayor Hidalgo is currently President of the AIMF (Association internationale des Maires francophones), President of C40, Co-President of the UCLG and First Vice-President of the Greater Paris Metropolitan Area.

H. E. Dian Triansyah Djani, Permanent Representative of the Republic of Indonesia to the United Nations

Dian Triansyah Djani is the current Permanent Representative of Indonesia to the United Nations. Prior to his appointment, Ambassador Djani was the Director General for America and Europe, MoFA Indonesia. Between 2009 and 2012, he served as Permanent Representative to the United Nations, WTO and other International Organisations in Geneva.

From 2005 to 2008, Ambassador Djani was the Director General of the Association of Southeast Asian Nations (ASEAN) and member of the High Level Task Force on Drafting the ASEAN Charter. He was President of the UNCTAD Trade and Development Board (2009), Vice President of the UN Human Rights Council (2009),

Chairman of the Second Committee of the 71st UNGA, as well as numerous positions in many international conferences/summits. He also served as the Commissioner of the Global Commission on Internet Governance. He pursued his graduate studies in Economic Development at the University of Indonesia and Vanderbilt University, United States of America.

H. E. František Ružička, Permanent Representative of the Slovak Republic to the United Nations

František Ružička is the Permanent Representative of the Slovak Republic to the United Nations. Prior to his appointment in 2012, Mr. Ružička was elected Chair of the Fifth Committee (Administrative and Budgetary) during the sixty-ninth United Nations General Assembly and was a member of the Intergovernmental Committee of Experts on Sustainable Development Financing from 2013 to 2014. He also co-chaired the Ad Hoc Working Group on the Revitalisation of the Work of the sixty-eighth General Assembly.

Mr. Ružička's career has included numerous foreign posts. From October 2004 until his current appointment, he served as Director General of the European Affairs Section at the Ministry for Foreign Affairs in Bratislava. Between September 2003 and April 2005, he was Director of the Department for Internal Affairs and Institutions of the European Union. Previously, Mr. Ružička represented his country as a member of the delegation to the International Monetary Fund (IMF) and World Bank, Ambassador to Poland and in numerous posts at the Foreign Ministry.

Hon. Sheela Patel, Founder and Director of the Society for Promotion of Area Resource Centres (SPARC)

Sheela Patel is Founder and Director of the Society for Promotion of Area Resource Centres (SPARC) and a global expert on urban poverty alleviation and advocacy for slum dwellers. Ms. Patel founded SPARC in 1984, a Mumbai-based non-governmental organisation focused on housing and infrastructure rights for the urban poor. During this time, Ms. Patel has played a key role in the expansion of Mahila Milan, a federation of collectives of women living in slums across India.

Ms. Patel is also the Chair of Slum/Shack Dwellers International (SDI), an international network of organisations of the urban poor and supporting non-governmental organisations, active in Asia and Africa. She has represented SDI as a member or adviser in many national and international task forces and committees, including for multiple United Nations agencies.

Ms. Patel received the David Rockefeller Bridging Leadership Award from the Synergos Institute in recognition of her extensive efforts to ameliorate urban poverty,

and Padmashree, a civilian award in India, for her work on urban poverty alleviation. She holds a Master of Social Work from the Tata Institute of Social Sciences.

Hon. Peter Calthorpe, Architect

Peter Calthorpe is an architect, urban designer, urban planner, and founding member of the Congress for New Urbanism. Mr. Calthorpe's career in urban design, planning, and architecture began in 1976, combining his experience in each discipline to develop new approaches to urban revitalisation, suburban growth, and regional planning. In 1983, he founded the award-winning firm of Calthorpe Associates, devoted to sustainable urban design and planning globally. He is a founder and the first board president of the Congress of New Urbanism.

In 1986, along with Sim Van der Ryn, Mr. Calthorpe published *Sustainable Communities*, a book that inspired new thinking in environmental design and helped launch sustainability as a defining goal of many ecological efforts. In the early 1990s, he developed the concept of Transit Oriented Development, highlighted in *The Next American Metropolis*, an idea that is now the foundation of regional policies and city plans around the world. His latest book, *Urbanism in the Age of Climate Change*, documents his work relating patterns of development to energy and carbon emissions, along with other environmental, social and economic impacts. Recently he led a ground-breaking state-wide urban design effort, *Vision California*, to inform the implementation of the state's climate change legislation. He studied at the Graduate School of Architecture at Yale University.

Annex II

Methodology of assessment

This assessment process took place within a four month period — April to July 2017. The methods used for the assessment included a review of the literature, field trips, consultations, survey questions (online and word), and Panel discussions and analysis. Given the short period of time available to conduct this work, the Panel relied on evidence and support from previous evaluations and assessments, as well as qualitative in-person and written interview consultations. The Panel made two trips to Nairobi and two trips to New York for this assessment and has considered all consultations and evidence, taking into account different opinions, versions, ideas and alternative scenarios.

Consultations

Prior to organising consultations with Member States and other relevant stakeholders for the Assessment of UN-Habitat, it was agreed among Panel members that for any consultation meetings to take place, there had to be at least two Panel members present. A series of consultations, both virtual and in-person, were held throughout the process with Member States and key stakeholders of UN-Habitat including representatives of the Governing Council (GC); the Committee of Permanent Representatives (CPR) to UN-Habitat; the Executive Director and senior management staff of UN-Habitat; key partners in multilateral organisations; associations of local authorities and regional governments; urban economists; youth and women's groups; and other relevant stakeholders. The Panel also consulted multiple UN agencies and specialised bodies such as the World Bank institutions throughout this process. (See list of consultations in annex III). In Nairobi, the Panel had 17 group consultations and 10 bilateral meetings with Member States. In New York, the Panel held 6 group consultations and 4 individual consultations (with the Secretary-General and Deputy Secretary-General, UN Environment head in New York, UN-Women Deputy head in New York and Previous MOPAN head).

Literature review and previous evaluations

Several documents and reports were reviewed by the Panel for this assessment process, including background material that was generated specifically for the report, as well as previous evaluations and assessments.

Reports drawn on by the Panel include:

- MOPAN 2016 assessment report of UN-Habitat, which evaluated the organisation's systems, practices and behaviours, and results from 2014 to mid-2016, using MOPAN 3.0 Methodology in its analysis.

- Office of Internal and Oversight Services (OIOS) 2014 assessment report, assessing the relevance, effectiveness and efficiency of UN-Habitat, as it embarked on its strategic plan for the period 2014-2019.
- 2015 UN-Habitat report^a detailing discussions on options for the strengthening of UN-Habitat and reforming its governance structure.
- 2017 report of the UN-Habitat Governing Council,^b pointing to the continued strengthening of this Council's oversight role and that of the CPR over UN-Habitat work, and assuring implementation of the recommendations made so far.
- A recent mid-term evaluation of UN-Habitat^c indicating the need for the agency to take a leading role in the NUA and SDG 11.
- DFID 2011 assessment report on how UN-Habitat's work aligns with United Kingdom development objectives and assessed the quality of the agency's performance, collecting evidence and scoring on two indices. (See annex IX on reviews of reports)

Guiding questions

The panel generated a set of guiding questions for Member States, the finance team of UN-Habitat and questions for relevant stakeholder and actors to generate evidence and information on the effectiveness of UN-Habitat. These questions were also developed into an online survey using Survey Planet online tool and the link was circulated to different networks including UN-agencies, urban experts, academic institutions, civil society organisations and Member States. Responses to the online questions were 44 in total. (See annex VI for analysis of result of questions)

The guiding questions were also circulated to the Panel members' respective constituencies including the following:

- Member States with permanent missions in New York and Nairobi
- UN agencies and all regional commissions

^a UN-Habitat (2015). Review of the Governance Structure of United Nations Human Settlement Programme, HSP/GC/25/2/Add.1-Report of the Executive Director. United Nations Human Settlement Programme.

^b UN-Habitat-Governing Council (2017). Addendum: Activities of the United Nations Human Settlements Programme, Working Group on programme and budget — Report of the Executive Director.

^c UN-Habitat (2017). Mid-Term Evaluation of the Implementation of UN-Habitat's Strategic Plan, 2014-2019. <https://unhabitat.org/wp-content/uploads/2017/05/2017-05-01-Final-Report-UN-Habitat-Strategic-Plan-Mid-Term-Evaluation.pdf>.

- ECLAC, the Economic Commission for Latin America and the Caribbean
- African Group of Ministers, a consortium of local leaders and the Local Government Constituency
- Urban experts and stakeholder groups including Slum/Shack Dwellers International among others.

The guiding questions were circulated to a list of 240 addresses for Member States and 42 agencies with 144 focal points of the UN Task Teams on Habitat III.

To publicise the assessment process, and to encourage stakeholders to share their perspectives with the Panel, the High-level Panel secretariat created a twitter hashtag **#HLPUNHabitat**. The survey link was tweeted by the Global Task Force and Minister Robles to encourage their constituencies to provide feedback.

A total of 124 responses were received to the guiding questions that were circulated. 107 of these responses were from Member States (inclusive of 54 African countries represented by the Africa Regional group and 28 European Countries represented by the EU) and 17 from other stakeholders and actors. The responses have been summarised and incorporated into the High-level Panel's report.

Following the first round of consultations, the Panel developed additional questions to generate more evidence for the assessment and received 69 responses from Member States. (See annexes IV and V)

Field trips

As part of the Panel's assessment mandate, the Panel visited two UN-Habitat project sites to gather evidence for the report.

- The Kiambu County's Semi-Aerobic landfill project, a benchmark waste management programme supported by UN-Habitat. It started as a pilot project and has now gained national support. The Panel met with the Deputy Mayor of Kiambu county, Minister of Finance and Economic planning of Kiambu and other local government representatives (water, environment, planning, land and housing sectors).
- The Mashimoni project in Mathare Slums where the Panel met with the Mashimoni Settlement Executive Committee and Pamoja Trust. This community gave a brief history of the project including the support and tools (example Global Land Tool Network to map the community and draw legal documents of land ownership) they have received from UN-Habitat.

Panel discussions and analysis of evidence

The Panel has had several meetings to deliberate on findings and recommendations. The Panel met twice in New York and twice in Nairobi. The Panel members also held a series of teleconferences to discuss and align on recommendations.

Annex III

List of consultations

New York

- Habitat III secretariat
- Member States (Germany, China, Norway, Brazil, Japan, Russian Federation, Canada, Finland, Czechia, Nigeria, Philippines, Kenya, Croatia, Dominican Republic, France, Switzerland, United Arab Emirates, Singapore, Maldives, State of Palestine, Islamic Republic of Iran, Portugal, United States of America, Mexico, South Africa, Republic of Korea, Lesotho, Malaysia, Peru, Jamaica, Ecuador, Afghanistan)
- United Nations task force (FAO, UNESCO, UNIDO, UNHCR, UNOPS, UN Volunteers, IFAD, UN Environment, UN-OSAA, ECA, UN-Women, UNISDR, UNICEF, ECLAC, UNDP, IOTT, UNCDF, ECSWA, ILO, UN-ESCAD, ECE, World Bank Group)
- UN Environment Head in New York
- UN-Women Deputy Head of programmes in New York
- Civil Society Working Group towards Habitat III
- Former Head of MOPAN secretariat, Bjorn Gillsater
- Urban Experts and Economists
 - Aromar Revi, Director, Indian Institute for Human Settlements (IIHS)
 - Michael Cohen, Director of International Affairs Program, The New School
 - William Cobbett, Director, Cities Alliance
 - Junaid Ahmed, Country Director for India, World Bank
 - David Satterthwaite, Senior Fellow, International Institute for Environment and Development
 - Edgar Pieterse, South African Research Chair in Urban Policy, University of Cape Town

Nairobi

- UN-Habitat
 - The Executive Director
 - Senior management team

- Budget and finance team
- Programme and Branch Heads
- Member States
 - Governing Council of UN-Habitat
 - Committee of Permanent Representatives (CPR)
 - Bureau of the Committee of Permanent Representatives and Governing Council
(United Republic of Tanzania, Rwanda, Ghana, Colombia, Israel, Islamic Republic of Iran, United States, Germany)
 - Working Group on Programme and Budget
 - Regional Group of Africa
 - Western European and Other States (WEOG)
 - Eastern European States
 - Asia-Pacific States
 - Latin American and Caribbean States (GRULAC)
 - Bilateral Member States meetings
 - President of the Governing Council to UN-Habitat
 - Japan
 - Brazil
 - United States
 - Afghanistan
 - Kenya
 - Cameroon
 - Germany
- United Nations Agencies
 - Regional Directors of UNICEF, UN Environment and UNHCR
 - United Nations Country Team (UN Resident Coordinator Nairobi, FAO, UNESCO, UNFPA, UNAIDS, UNSDR, UNHCR, UNODC)
 - UN Environment governing body secretariat
- Civil Society Organisations

- Federations of Urban Poor
- General Assembly of Partners (GAP)
- World Urban Campaign (WUC)

Annex IV

Questions to assess and enhance the effectiveness of UN-Habitat

Guiding questions — also circulated formally by email

These questions were used during consultations with Member States and other stakeholders to UN-Habitat. They were also circulated formally by email to Member States and other stakeholders.

1. What is your assessment on the current state of UN-Habitat?
2. Is the mandate sufficient to address the New Urban Agenda?

Is the mandate still relevant or not?

Are the agency's strategic areas responsive enough to the New Urban Agenda?

How normative and/or operational should UN-Habitat's mandate be?
3. What is working well and what needs to be improved?

How should UN-Habitat governance and management be structured (to increase its effectiveness, accountability, transparent decision-making)? — for example, universal membership.
4. How does UN-Habitat work with other actors/stakeholders? (national, subnational and local governments; UN agencies; private sector and non-government organisations)
5. What is UN-Habitat's role within the UN system and what should it be?
6. Are the resources and financial capability of UN-Habitat sufficient enough to address the New Urban Agenda? What could be the way forward?

NB: A total of **124** responses came to these guiding questions came in via email of which **107** were from Member States (inclusive of 54 African countries represented by the Africa Regional group and 28 European Countries represented by the EU) and **17** from other stakeholders/actors

Additional questions for Member States.

To get better clarity on some issues, the Panel developed additional questions for Member States and these were used for Member State discussion in New York and circulated after the follow-up meeting in Nairobi.

1. How important is the urban agenda at the national level?

a. Is UN-Habitat the only UN agency that can implement the New Urban Agenda?

b. Does UN-Habitat have the capacity and funding to support urban ministries in national governments? And/or do other UN agencies have such capacity?

2. Please submit the key elements of normative work (e.g. policy guidance, standards and norms) that need to be expanded, to support the NUA?

3. What funding mechanisms can you suggest for this enhanced normative programme? If we are to stay with earmarked funding, what does that mean for transparency and accountability?

4. What are the limits of the current governance structure for a UN-Habitat fit to deliver the New Urban Agenda? And, what potential changes in governance would be appropriate? (e.g. universal membership, UN-Women model)

5. What specific forms and engagements for coordination and collaboration should be prioritised?

a. What agencies/entities should be prioritised for coordination and collaboration?

b. Which elements of the New Urban Agenda should be the responsibility of UN-Habitat?

NB: A total of **69** Member States (this includes the African Group representing all 54 countries) provided responses.

Online questions through Survey Planet

1. Please list your government affiliation and/or institutional affiliation

2. Please give us your name and title/position within your institutional affiliation

3. What is the government or institution assessment on the current state of UN-Habitat?

4. Is the mandate sufficient to address the New Urban Agenda?

5. Is the mandate still relevant or not?

6. Are the agency's strategic areas responsive enough to the New Urban Agenda?

7. How normative and/or operational should UN-Habitat's mandate be?

8. What is working well and what needs to be improved?

9. How should UN-Habitat governance and management be structured (to increase its effectiveness, accountability, transparent decision-making)?

10. How does UN-Habitat work with other actors/stakeholders? (national, subnational and local governments; UN agencies; and non-government organisations)
11. What is UN-Habitat's role within the UN system, and what should it be?
12. Are the resources and financial capability of UN-Habitat sufficient enough to address the New Urban Agenda? What could be the way forward?

NB: A total of **50** responses generated of which **42** were complete responses, **6** left blank and **1** filled in half way.

Annex V

Summary of responses from Member States, United Nations agencies and stakeholders

General assessment of UN-Habitat

For most **Member States** consulted, the general appraisal is mostly negative and indications that there is a need for reform were abundant. Problems highlighted had to do with the relationship of UN-Habitat with Member States and UN entities, with management and leadership, capacity to implement the NUA and the insufficiency of UN-Habitat's resources. On the positive side, Member States indicated the important and valuable work and the quality and importance of the dialogue among diverse stakeholders that UN-Habitat stimulated and the positive indications provided by the ongoing reform. The **responses received online** indicated very clearly the perception that UN-Habitat's status is not good. Inputs received from **other stakeholders** indicate some positive aspects: being an important expert body with valuable normative work and good networks with city administrations. However, UN-Habitat is generally considered weak, under-resourced, peripheral, poorly led, with a dispersed focus. Some consider that little progress has been made to improve over the years. In relation to the implementation of the SDGs and the NUA, the perceptions are that its role is still undefined, that it is underprepared and underresourced, not fit-for-purpose. Relationships with Member States, other UN agencies and global urban networks are perceived to have deteriorated, UN-Habitat is seen as poorly connected with other agencies, with a lot of overlap and an ambiguous/awkward fit with the UN's wider institutional architecture.

Importance of the New Urban Agenda

Generally, the New Urban Agenda is considered very important and in some cases more important than ever. It will contribute to facilitate connectivity between big cities and surrounding areas, including rural areas and in some contexts, for instance for the African countries, the process of urbanisation, and the potential embedded within it, presents an invaluable opportunity to realise the economic, social and spatial structural transformations needed. While the New Urban Agenda is an international agreement, it is intended mainly to guide national and sub-national activities. In some countries, the development of a national programme for sustainable urban development has been inspired by the New Urban Agenda. There should be further incentive by both UN-Habitat and the local governments to define action plans for the implementation of the New Urban Agenda.

What is working well and not working well for UN-Habitat

For Member States, the quality and competency of UN-Habitat and its staff are valuable and its role in the recognition of the urban challenges and the technical and normative tools developed make it an important organisation for Member States. However, management problems, problems of coordination within the UN, excessive operational work, the quality of relations with Member States, the insufficient relation with national governments, funding problems and its location in Nairobi constitute the main difficulties and bottlenecks currently. The responses received online highlight that on the positive side UN-Habitat has competence in its work and has established varied and ample partnerships. What needs to be improved is communication, it needs increased resources to perform, activities should be narrowed and focus improved. In addition, respondents consider that UN-Habitat needs to have a clearer role, fine-tune partnerships, more efficiency, and work to be responsive to the NUA and support other entities in this sense.

UN-Habitat mandate

The majority of **Member States** consider that UN-Habitat's mandate is sufficient to address the NUA and that it is relevant. Opinions are divided, however, with regard to the responsiveness of UN-Habitat's strategic areas to the NUA. The majority of the **responses received online** indicate that the mandate is sufficient to address the NUA and that it is still relevant. Opinions are also divided regarding UN-Habitat's strategic areas and the NUA. **Other stakeholders** consider that the unique expertise and knowledge of UN-Habitat in sustainable urbanisation must be underlined, fortified and adapted and that it does not cover all areas of the NUA. The traditional housing and land mandate of UN-Habitat could and should be refreshed. The mandate is considered still relevant but needs to be broadened.

The core work of UN-Habitat

Member States expressed that as a programme, UN-Habitat's mandate was expanded to cover operational activities and now needs to strengthen its normative capacity. It needs to work on planning, policy and project management to assist countries in defining an action plan to support the NUA. UN-Habitat's core work is to provide and disseminate policy recommendations on national land and urban policies and globally share lessons learned from project implementation. The organisation needs to continue to be the knowledge repository, a trusted reference on urban development and human settlements and 'go-to' place for information in its field. It also should guide urbanisation, assist and design innovative approaches, to disseminate best practices, provide technical assistance and empower countries to translate policies into practise.

UN-Habitat normative and operational work

Most Member States consider UN-Habitat should have a mandate that is both normative and operational but a large number of the respondents thinks that it should be more normative, in particular European countries. The responses received online also point to a mandate that should be both normative and operational. For other stakeholders consulted, UN-Habitat also needs to aim for a more balanced and recalibrated combination of normative and operational, with stronger links between normative and operational activities. Project implementation should be targeted and feed into the normative work.

Key elements of normative work that need to be expanded to support the New Urban Agenda

For Member States, the key elements of normative work are capacity building, knowledge incubation, generation and development, developing implementation frameworks, devising implementation and evaluation tools, promoting and championing best practices, producing data and trend analysis, research, publications, producing country, regional and global reports, guidelines, toolkits, and documenting project lessons and findings, providing policy guidance, advocacy, standards, norms and codes of best practice. UN-Habitat needs to be transparent and to involve technical experts from governments to ensure sufficient country ownership.

UN-Habitat Governance structure and management

To Member States, the governance models suggested include the Hybrid Governance Model, and the smaller and operational Executive Board type as employed by UNDP, UNFPA, UN-Women and UNICEF, converting UN-Habitat into a specialised UN-agency. As for participation, opinions are oriented towards enhancing participation of stakeholders in the work of the governing body, having a Governing Council with all Member States of the UN, and the Working Group on Programme and Budget that could be elevated to an additional inter-sessional body. In general, visibility at UN-Headquarters in New York should be improved and at the same time there is a need to consolidate headquarter functions in Nairobi, all this done through a clear definition of Headquarter's functions. Converting the regular budget allocation for UN-Habitat into a grant should be explored. The **responses received online** indicate that UN-Habitat needs to have more visibility, accountability, political support, and financial autonomy. For the respondents, it needs to define clear core functions, a strategy (and an inter-agency strategy), review partnerships to include more varied partners in its work. For **other stakeholders consulted**, there is a clear need to change the governance structures. Most indications are that an Executive/Management Board should be established, removed from the UN Secretariat and established as an autonomous body. The majority also sees this as the way forward with a multi-level

governance structure (or tripartite), with a broader inclusion of key stakeholders, sub-national governments, regional UN bodies, with a possible constitution of other mechanisms such as an external advisory group or a coordination mechanism of different agencies, or even a coordinating structure to be established that is not located in UN-Habitat. The NY office of UN-Habitat should also be significantly strengthened.

Universal membership

Opinions are divided among **Member States** regarding universal membership. While the African countries indicate the need to call for universal membership, developed world countries indicate either no universal membership or another modality that does not necessarily require funding from UN member states. Only a very small number of the **responses received online** indicated the need for universal membership. Among the **other stakeholders** consulted, there are references to the need for a more strategic universal membership but most of the indications were towards multiple sources of income through varied partnerships.

UN-Habitat's work with other actors (Partnership)

Opinions of **Member States** are also divided about the relations of UN-Habitat with other actors, namely with national governments. In general, relations with sub-national and local governments are considered good, while with UN agencies and NGOs they may not be good in the opinion of some Member States. **Responses received online** are divided on this front. **Other stakeholders** indicated that UN-Habitat has excellent cooperation, very good relationships and connections at the local level with government counterparts, networks to raise awareness among mayors and local government officials about the urban issues and has been working imaginatively with partners. However, it needs to improve and coordinate efforts of other UN agencies, work more with Member States, cooperate with existing intergovernmental bodies and establish strategic cooperation with UN regional commissions. More specifically, it needs to strengthen the role of the World Urban Forum, making it an appropriate stakeholder platform.

Forums and engagement within and outside the UN system for the delivery of the NUA

Most Member States from inputs received think UN-Habitat should make efforts to bring in new donors by actively informing them of the importance of its normative programmes. The organisation must retain its role as a focal point in the New Urban Agenda and should engage municipalities better and host ministries in national frameworks. UNDAF is one such platform. Country level interventions should be coordinated by UN-Habitat.

UN-Habitat's role in the United Nations

For **Member States**, UN-Habitat has a specific role in the area of urbanisation and in the achievement of SDGs and the NUA. However, this should be stronger, more involved with other commissions, regional and national agendas. Its role should be focused on guidance, support and knowledge and information within the UN system for the implementation of the NUA, establishing stronger partnerships and assuring coordination. The **responses received online** indicate that UN-Habitat's role should be more normative, its urban advocate role should be enhanced and it should be the convener of UN urban policy, a leader with a key role in urban issues. **Other stakeholders** referred to the leading role of UN-Habitat in the coordination of partners on urban issues, its role as the placeholder UN agency for urban issues, and in advocacy, policy and knowledge for the delivery of the NUA. In general, they consider that UN-Habitat should be a convener, assuring coordination and cooperation with other UN agencies but not necessarily be the overarching voice for urban, as it is the role of the UN system to implement the NUA.

Is UN-Habitat the only entity that can implement the New Urban Agenda?

The perception of some Member States is that UN-Habitat is not the only UN agency to implement the NUA. For some, it has the mandate and expertise to implement a great majority of areas in the New Urban Agenda and so should play and continue to play the role of focal point for issues related to sustainable cities and human settlements. Some think the organisation is equipped to provide strong leadership and should provide support for and coordinate of the implementation of NUA. However, tertiary institutions and research centres, local organisations and governments should be encouraged to participate in the implementation process.

UN-Habitat resources and financing in relation to NUA

Member States consider that for the implementation of the NUA, UN-Habitat will need more resources, that the current finances are insufficient. The African Member States generally agree on increased Regular Budget contributions. Other indications are for increased innovative programmes, strategies, and partnerships to diversify the sources of funding. However, there has to be a change prior to devising a strategy to increase funding: resolving structural and trust problems, assessing the funding needs for the NUA. The majority of the **responses received online** also indicate that resources and financial capacity are not enough. The way forward could be planning for long-term budgets, increase member-state contributions and a commitment of the countries that signed the NUA. Diversification and leveraging of resources would imply alliances with other agencies and UNDAF budget, and include the private sector and non-government, the BRIC countries, cities and municipalities. **To other stakeholders**, UN-Habitat does not have sufficient resources and will need to leverage

the ones already available — including its staff — by establishing synergies with other UN organisations, working together with them, namely with shared staff, time and financial resources. On the other hand, it should enlarge its core budget and normative work. Most of the indications were, however, that it should expand the possibilities by, on one hand, calling for all Member States' full contributions, combined with voluntary contributions and, on the other, engaging private sector partners and possibilities like multi-lateral platforms (e.g. Cities Alliance, Global Fund for Basic Services, Global Observatory on Local Finance, Climate Financing), Development Banks.

Funding mechanisms to enhance the normative work of UN-Habitat

For some Member States, UN-Habitat should manage and operate within the scope of its present resources and financial capacity but also aim at increasing core funding and country earmarked funding. It needs increased and predictable core funding from the UN regular budget but should also make efforts to bring in new donors by actively informing them of the importance and value of its normative programmes. Core resources from the UN need to be combined with technical cooperation funds. The organisation should also be funded from the non-earmarked general-purpose contributions, which should increase with more trust, and funding could also increase through cross agency collaboration.

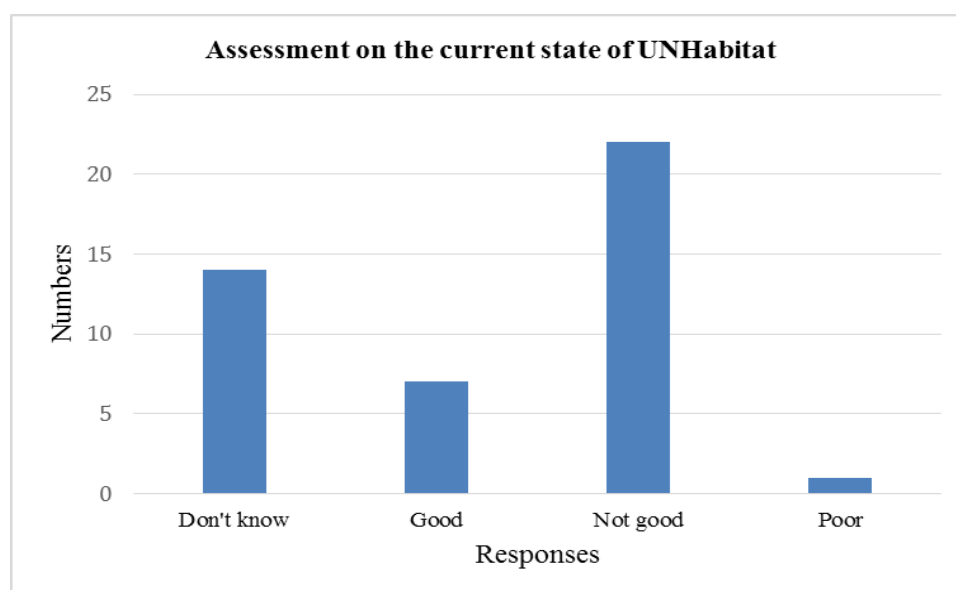
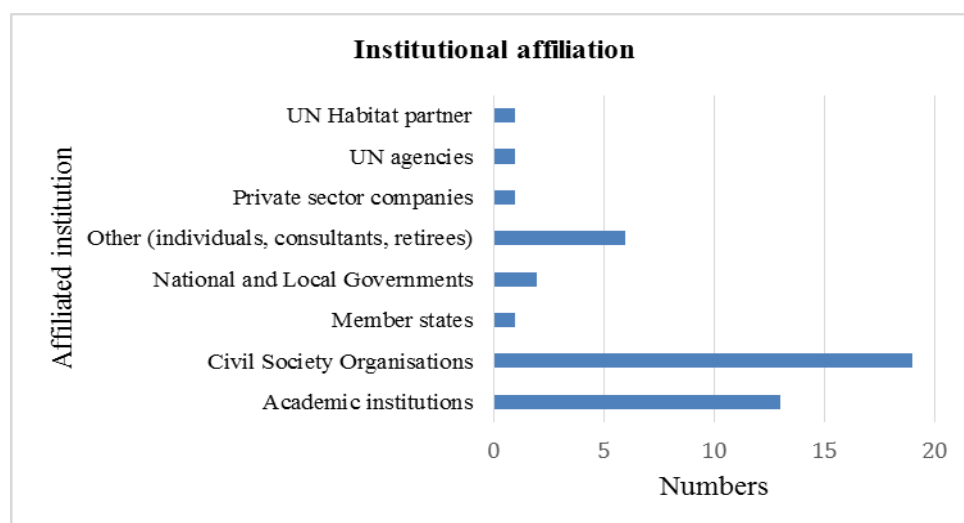
UN-Habitat's capacity and funding to support urban ministries

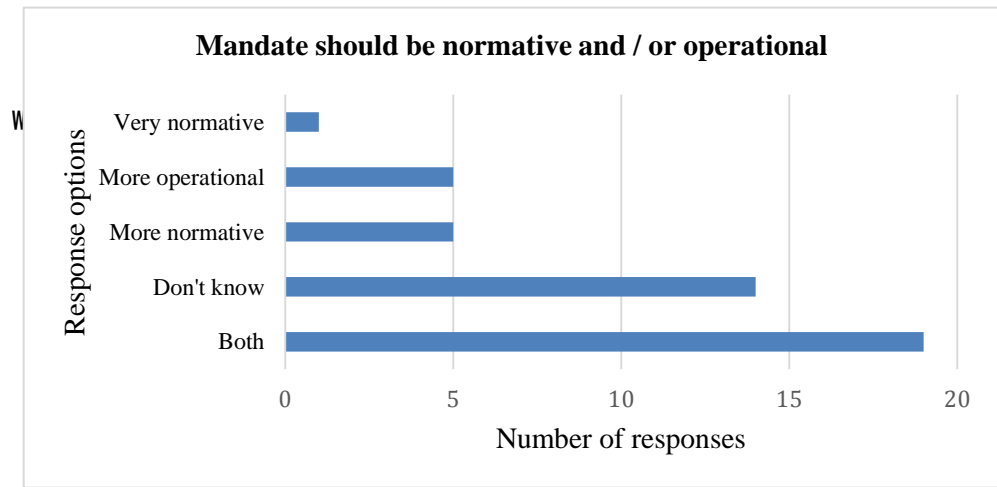
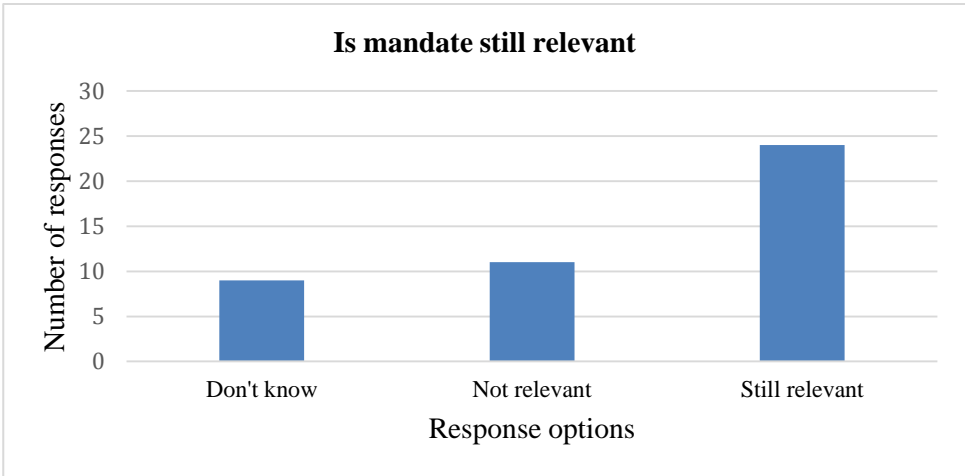
UN-Habitat is facing several challenges and does not have the capacity to address them. However, it still possesses the capacity to support the relevant governmental bodies of developing countries in charge of urbanisation. It is difficult to see other agencies fulfilling UN-Habitat's role. Should the funding return to normal, it will have the expected capacity. Habitat Programme Managers (HPM) at country level should be revitalised and at the same time, there should be a focus on emerging countries and under-developed regions. Other agencies do not have the capacity to support urban ministries.

Annex VI

Result of online questions and analysis

Number of online responses considered: 44 (42 complete and 2 incomplete)





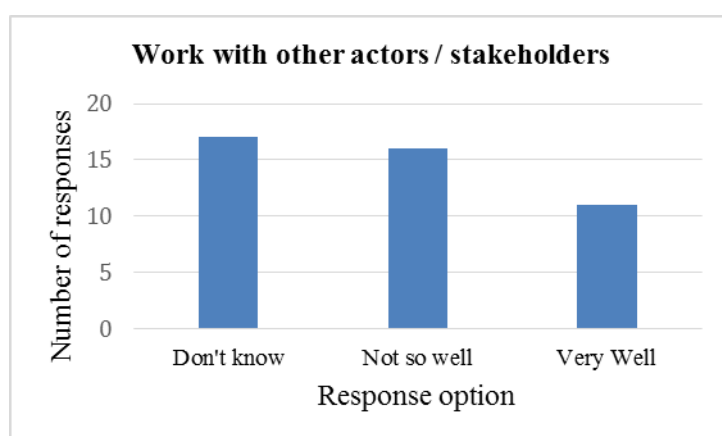
What is working well is that UN-Habitat has competence in its work, has established varied and ample partnerships, participates in numerous relevant forums and works

with local and national governments. It addresses the global south. Communication and networking are working well.

What needs to be improved is communication; increased resources to perform; activities are too expanded, there is a need to focus; need to have a clearer role; need to fine-tune partnerships; more efficiency; needs to develop areas needed for the NUA; needs engagement and advance knowledge passed; monitoring of NUA; link up with population health and health equity; more national urban policies and governance frameworks that make cities respond to NUA.

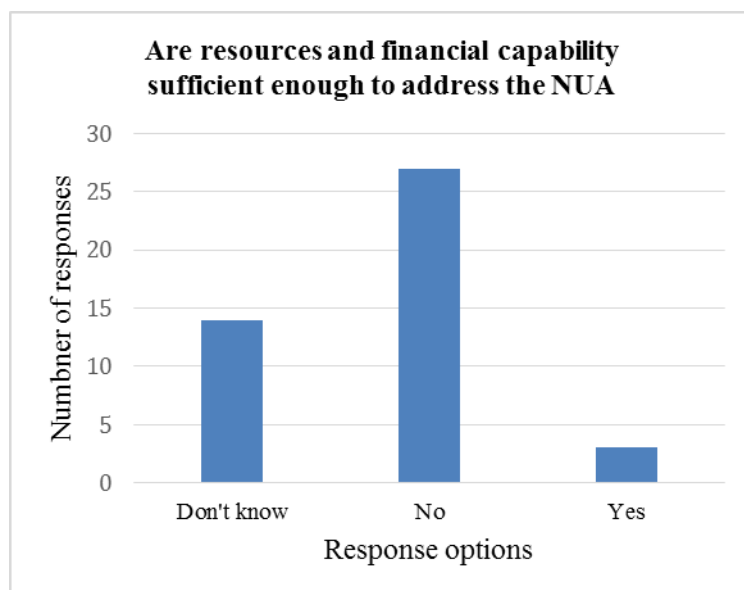
How should UN-Habitat governance and management be structured (to increase its effectiveness, accountability, transparent decision-making)? Should there be Universal membership?

The consensus is it needs more visibility; more accountability; political support; and, financial autonomy. It needs to define clear core functions; to define a strategy (and an inter-agency strategy); to review partnerships; to include representatives of organised groups, such as churches, mosques leaders, social movements; more participation of SCO in UN-Habitat management; to establish a Centre for Cities to do research and test aspects of NUA. 2% indicated Yes to universal membership.



What is UN-Habitat's role within the UN system and what should it be?

UN-Habitat is a specialised organisation with high expertise; it is the advocate of urban development; it is small for this role. Its role should be more normative; its urban advocate role should be enhanced; it should be the convener of UN urban policy; should be a leader in urban issues; should have a key role on urban issues; should collaborate with UNEA; should have a more important role in the UN system; should support government services and cities.



Way forward

There is a need for long-term budgets, increased member-state contributions, leveraged resources, alliances with other agencies and UNDAF budget; partnerships including private and non-government; from BRIC countries; need for financial commitments between the countries that signed the NUA; more 'buy-in' from cities and municipalities; demonstrated results to stimulate more resources.

Annex VII

Urban work in the United Nations

Urban data

- UNFPA (urban demographics, urban youth work)
- UNICEF (MICS)
- WHO (world database on cities air pollution)

Projects with UN-Habitat

- UNFPA (sexual and reproductive health in urban slums; young people capacities and urbanisation; urban gender equality)
- UNICEF (many urban work programmes, especially in WASH; and support for the Child Friendly Cities Initiative)
- WB (Global Platform for Sustainable Cities, City Creditworthiness Initiative)
- ICAO (airports and urban development)
- UN-Women (Safe Cities and Safe Public Spaces)
- UNOPS Cities Alliance, Cities without slums — Secretariat (UN Environment, UN-Habitat, UNCDF, UNDP, UNISDR, UNHCR)

Work about urban

- United Nations Institute for Training and Research (UNITAR) (Habitat III Discussions on Urban Legislation and Municipal Finance)
- UNU (several courses and training)
- UNICEF (work towards an urban strategy 2017)
- UNDP (new Sustainable Urbanisation Strategy, Articulation of Territorial Networks)
- UNITAR, UN-Women (World Alliance of Cities Against Poverty)
- UNAIDS (Alliance of Mayors and Municipal Leaders on HIV-Aids)
- UNDESA (publications on inclusive cities, urban youth, local authority engagement)
- UNESCO (sociocultural urban frameworks, urban culture and heritage, Creative Cities Network, Growing Up in Cities, Global Network of Learning Cities)

- WHO (Healthy Cities Programme, Global Network for Age-Friendly Cities and Communities)
- UNFCCC (light touch interaction with cities/subnational coalitions of actors)
- UN Environment (Partnership for Clean Fuels and Vehicles (PCFV), Climate and Clean Air Coalition, Initiative on Road Design and Finance for Safety, Sustainability, and Accessibility, Sustainable Buildings and Climate Initiative (SBCI), Sustainable Social Housing Initiative (SUSHI), Sustainable Buildings Policies in Developing Countries (SPoD), UN Environment's Division of Early Warning and Assessment (DEWA), UN Environment International Environmental Technology Centre (IETC) — solid waste management systems, Awareness and Preparedness for Emergencies on a Local Level Programme (APELL), CBD: urban ecosystem management, Cities and Biodiversity Outlook project (CBO)
- FAO (D groups Global Network: “Food for Cities, Programme for Urban and Peri-urban Horticulture, Urban Agriculture Programme, Urban and peri-urban forestry Programme, City region food systems (CRFS) network)

UN-Habitat projects and programmes:

- Urban Youth Fund
- Urban low emission development strategies (Urban-LEDS)
- Urban Planning and Design Lab, Safer Cities Programme (UNCJIN, UNODC, UNICRI, UNODCCP)
- Global Network on Safer Cities (GNSC)
- Participatory Slum Upgrading Programme (PSUP)
- Greener Cities Partnership (UN Environment)
- City Resilience Profiling Programme (CRPP)
- Cities and Climate Change Initiative (UN Environment, World Bank, Cities Alliance)
- Africa Urban Agenda Programme
- Global Urban Observatory (GUO)
- Global Network for Sustainable Housing (GNSH) (ILO, UNECE)
- Global Land Tool Network (GLTN)
- Habitat UNI
- Cities and Climate Change Academy

- Urban Legal Network (ULN)
- Global Network of Urban Planning and Design Labs
- World Urban Campaign

Urban efforts without specific projects:

- IOM (management of migration and refugees in urban settings)
- OHCHR (promotion of inclusive cities and protection of human rights in informal settlements)
- OSRSGVAC (strengthening the role of mayors for child protection)
- UNHCR (management of refugee camps in urban areas)
- UNICRI (safer cities and urban resilience)
- UNISDR (urban ecology, urban resilience, Making Cities Resilient campaign)
- UNODA (safer cities and arms control)
- UNODC (safer cities and drugs control)
- ILO (urban economies, urban youth and housing policies)
- ITU (smart cities and engagement with tech sector, ITU-T, Smart Sustainable Cities Programme, ITU-T Study Group 20 (SG20) — Internet of Things and Smart Cities, United for Smart Sustainable Cities (U4SSC), ITU-T, Environment, Climate Change and Circular Economy)
- World Tourism Organisation (UN WTO) (sustainable tourism knowledge management)
- IFAD (City Region Food System (CRFS) network)
- WFP (urban food security knowledge dissemination and urban safety nets)

Urban financing:

- UNCDF (municipal finance knowledge)
- UNIDO (industrial revitalisation, Inclusive and Sustainable Industrial Development for urban sustainability)
- WB (municipal finance, Urban Development Programme)

Annex VIII

Partnerships of United Nations entities

<i>UN entity</i>	<i>Partnerships</i>
Funds and programmes	<ul style="list-style-type: none"> Bilateral Participation in specialised networks Inter-agency mechanisms Specific mechanisms
UNDP (incl. UNCDF, UNV)	<ul style="list-style-type: none"> Governments United Nations System International financial institutions Private sector Foundations Civil society organisations
UN-Women	<ul style="list-style-type: none"> Government contributors National mechanisms Civil society Businesses and foundations National Committees Goodwill Ambassadors Media collaboration
UNFPA	Engaged in collaborations with stakeholders including the business sector, foundations, parliamentarians, civil society, academia and scientific institutions, as well as individuals and multi-stakeholder initiatives.
UNICEF	<ul style="list-style-type: none"> Public partnerships, especially with local governments Corporate partnerships Civil society partnerships European Union A Promise Renewed Global Education First Initiative UNGEI
WFP	Collaborative work with thousands of partners, including governments, private sector, UN agencies, international finance groups, academia, NGOs and other civil society groups.
UNHCR	UNHCR collaborates with governments, intergovernmental, non-governmental organisations, UN agencies, community-based organisations, universities, the judiciary and the private sector.
UNAIDS	Partnerships with the private sector: programmatic partnerships, advocacy, fundraising support, or contributions-in-kind.

<i>UN entity</i>	<i>Partnerships</i>
UNCTAD (incl. ITC)	<p>UN System and other international organisations, governments, businesses, civil society, youth and academia.</p> <p>Geneva-based Trade Institutions: WTO and ITC</p> <p>A total of 111 intergovernmental bodies and 222 civil society organisations.</p>
UN-Environment	<p>Specific stakeholders such as foundations, non-state actors, forums as well as major private companies in global intergovernmental meetings such as the UN Environment Assembly. Coordination in UN Environment for participation of existing private sector partners in the Assembly. Promotes the private sector's participation in the implementation of UN Environment Assembly resolutions and their links to the Sustainable Development Goals.</p>
UN-Habitat	<p>Habitat Agenda Partners (HAP) includes a range of organisations outside central government:</p> <p>Local authorities</p> <p>NGOs and CBOs</p> <p>Trade unions</p> <p>Professionals</p> <p>Academics and researchers</p> <p>Human solidarity groups</p> <p>Indigenous people</p> <p>Parliamentarians</p> <p>Private sector</p> <p>Foundations</p> <p>Financial institutions</p> <p>Youth</p> <p>Women</p>
UNODC	<p>National, regional and international organisations</p> <p>UN System</p> <p>NGOs/civil society</p> <p>Private sector</p> <p>European Union</p>
UNRWA	<p>UN agencies share skills and expertise; partners with businesses and foundations, small community-based organisations, international NGOs, private individuals.</p>
Specialised agencies	<p>Bilateral</p> <p>Participation in specialised networks</p> <p>Inter-agency mechanisms</p> <p>Specific mechanisms</p>
FAO	<p>Academia and research institutions</p> <p>Civil society</p> <p>Cooperatives</p> <p>Private sector</p>

<i>UN entity</i>	<i>Partnerships</i>
IAEA	<p>Resource partners</p> <p>South-South cooperation</p> <p>Parliamentary alliances</p> <p>Member States, United Nations agencies, research organisations and civil society.</p> <p>Collaborating centres</p> <p>United Nations system</p> <p>European Union</p> <p>Other international organisations</p> <p>Regional/cooperative agreements</p>
UNESCO	<p>Non-governmental organisations, intergovernmental organisations, private sector, media, international networks</p> <p>Partnering with UNESCO, Goodwill Ambassadors.</p>
ICAO	<p>All United Nations agencies and foundations; corporations, foundations, and individuals; civil aviation authorities, the private sector and civil society.</p>
ILO	<p>Tripartism and the design and implementation of development cooperation programmes and projects with the active participation of governments, employers and workers.</p> <p>Donor community, the multilateral system, social partners, civil society, the private sector, South-South and triangular cooperation programmes, and other development actors</p> <p>Public-private partnerships</p>
IMO	<p><u>Global Partnership on Marine Litter (GPML)</u></p> <p>UN Environment, Governments, Businesses, Academia, Local Authorities, Nongovernmental Organisations and Intergovernmental Organisations. United Nations Environment Programme (UN Environment, International Maritime Organisation (IMO), Food and Agriculture Organisation of the UN (FAO)</p> <p><u>IHO Hydrography Capacity Building Programme for Coastal States</u></p> <p>International Hydrographic Organisation (IGO); 87 IHO Member States (Governments); International Maritime Organisation (UN); World Meteorological Organisation (UN); International Association of Marine Aids to Navigation and Lighthouse Authorities (NGO)</p>
ITU	<p><u>Global Partnership on Waste Management (GPWM)</u></p> <p>UN Environment International Solid Waste Association (ISWA)</p> <p>International Telecommunication Union (ITU) The Basel Convention Regional Centre for Asia and the Pacific (BCRC China)</p> <p><u>ICTs for Disaster Risk Reduction and Climate Change Adaptation for SIDS</u></p> <p>ITU with possible partners to be confirmed including WMO,</p>

<i>UN entity</i>	<i>Partnerships</i>
	<p>UNISDR, UN Environment, UNDP and existing partnerships including The Nairobi Work Programme; in which ITU is a member of, LoCAL funded by UNCDF, a partner of ITU; Caribbean Risk Management (CRM) among others.</p> <p><u>ITUT/UNESCO Broadband Commission for Sustainable Development</u></p> <p>ITU, UNESCO</p>
UNIDO	<p>Multi-stakeholder dialogue, private sector is a strategic partner.</p> <p>Cooperation with BRICS</p> <p>Partnerships with international development organisations</p> <p>Partnerships with the private sector</p> <p>South-South cooperation</p> <p>Networks, centres, forums and platforms</p> <p>UNIDO and the Global Environment Facility (GEF)</p>
UPU	<p>UN Organisations: UNDP, UN Environment, ITU, ICAO, ILO, WTO.</p> <p>Non-UN Organisations: International Air Transport Association (IATA), the International Organisation for Standardisation (ISO), the International Organisation for Migration and the World Customs Organisation (WCO).</p>
WIPO	<p>Publisher partners</p> <p>American Association for the Advancement of Science</p> <p>American Institute of Physics</p> <p>Cambridge University Press</p> <p>Canadian Science Publishing</p> <p>Elsevier</p> <p>Institute of Physics</p> <p>John Wiley & Sons</p> <p>Nature Publishing Group</p> <p>Oxford University Press</p> <p>National Academy of Sciences</p> <p>National Institute of Science Communication and Information Resources (NISCAIR)</p> <p>Royal Society of Chemistry</p> <p>Sage Publications</p> <p>Scientific and Academic Publishing</p> <p>Springer Science + Business Media</p> <p>Taylor & Francis</p> <p>The Company of Biologists</p> <p>Programme partners</p> <p>Food & Agriculture Organisation</p> <p>International Association of Scientific, Technical & Medical Publishers</p> <p>United Nations Environment Programme</p>

<i>UN entity</i>	<i>Partnerships</i>
WHO	<p>World Health Organisation</p> <p>WHO departments across the organisation — implementation of the workplan for climate change and health</p> <p>United Nations organisations</p> <p>WHO Collaborating Centres for Climate Change and Health</p> <p>Donors</p> <p>Government agencies</p> <p>NGOs</p> <p>Universities and academic centres</p>
WMO	<p>WMO works in partnership with international agencies, other organisations, academia, the media and the private sector to improve the range and quality of critical environmental information and services. Agreements with the United Nations and the International Atomic Energy Agency; working arrangements with specialised agencies of the United Nations; agreements with intergovernmental organisations; working arrangements with intergovernmental organisations and non-governmental international organisations; consultative status for non-governmental international organisations; Memorandums of Understanding (MoU).</p>
UNWTO	<p>UNWTO's membership includes 157 countries, 6 Associate Members and 500 Affiliate Members representing the private sector, educational institutions, tourism associations and local tourism authorities.</p>

Annex IX

Recommendations from previous assessments of UN-Habitat

MOPAN (2017). MOPAN 2015–16 Assessments; United Nations Human Settlement Programme – Institutional Assessment Report.

Methodology & what was being assessed

Assessing UN-Habitat's organisational systems, practices and behaviours, and results in the period from 2014 to mid-2016 applying the [MOPAN 3.0 methodology](#).

Findings

UN-Habitat largely meets the requirements of an effective multilateral organisation, is fit for purpose, but performance can be strengthened and improved in some areas.

The main conclusions related to the HLP assessment are:

- UN-Habitat has made considerable investments to reform the organisation: the new decentralised matrix management
- Approach is working effectively to achieve integrated results across programmes and normative work
- Its technical work adds value and its participatory project design ensures relevance; its partners value its support and have high levels of confidence in it
- Its powerful new partnerships with city, regional and national governments, as well as traditional and new development partners, have the potential to be transformative
- Has embraced results-based management at all levels, improving accountability for results
- Positive results achieved across all areas of operation.

Recommendations

- Stabilise core funding, and increase the proportion and volume of flexible core funding
- A new partnership strategy, linked to the inter-agency framework and the current resource mobilisation strategy
- Expedite institutional reforms, specifically the roll out of the Umoja management system

- Deepen mainstreaming of cross-cutting issues: strengthen processes for embedding climate change and human rights approaches and knowledge into programme and project design, implementation and oversight
- Engage in more comprehensive consultation with beneficiaries
- Strengthen reporting at the outcome level; apply a more systematic approach to establishing targets and data collection
- Develop comprehensive results analysis tools, more systematic approaches to knowledge management, and better processes to track partnerships and accountability across the organisation
- Incorporate learning from evaluations through a stronger feedback mechanism to improve organisational performance
- Focus more on sustainability in interventions and on identifying and managing risks throughout the programme delivery process.

OIOS — Office for Internal Oversight Services (2015). Evaluation of the United Nations Human Settlement Programme, E/AC.51/2015/2, United Nations Economic and Social Council. http://www.un.org/ga/search/view_doc.asp?symbol=E/AC.51/2015/2.

Methodology & what was being assessed

Assessment of the relevance, effectiveness and efficiency of the United Nations Human Settlements Programme (UN-Habitat), and the extent to which UN-Habitat has in place the elements to plan for, manage towards and demonstrate results as it embarks on its strategic plan for the period 2014-2019.

Findings

- UN-Habitat positioned itself as the lead United Nations agency responsible for an area of growing global priority: sustainable urbanisation.
- This priority has not yet cascaded throughout the agency, however. In some countries, its work lacks a sustainable urbanisation focus altogether.
- UN-Habitat has been effective in delivering its targeted outputs, although credible evidence of accomplishment is more readily available for its global initiatives than for its country operations.
- UN-Habitat does not yet have adequate systems in place to credibly demonstrate whether its targeted results will have been achieved in 2014-2019, even for its largest, highest-priority, and highest-risk areas of work.

- Despite well-documented external constraints, UN-Habitat made measurable improvements in its approach to defining and managing towards its targeted results during the period evaluated. These include greater structural alignment to its corporate results targets, mechanisms for improving the quality of its project proposals, the roll-out of an integrated online project management tool, key policies to help steer itself towards the results targeted in 2014-2019 and improved gender mainstreaming.
- Absence of several key elements could thwart the future success of UN-Habitat. These include the lack of a risk management mechanism and accountability framework, weaknesses in information and knowledge management and a lack of clear final strategies in a number of key areas, such as resource mobilisation and partnerships.

Recommendations

- Needs to further strengthen the management, particularly in project approval, monitoring, reporting and accountability.

The Office has made 11 recommendations in these areas, namely on procedures and mechanisms, and UN-Habitat has accepted these recommendations and initiated action to implement them:

- Develop a risk management policy and plan of action
- Finalise an accountability framework
- Require the completion of regional strategic plans in all four regional offices and Habitat Country Programme Documents in priority country programmes
- Revise the quality assurance responsibilities entrusted to the Project Advisory Group
- Ensure that the agency's highest-risk initiatives are identified for evaluation, and locate sufficient funds for these evaluations
- Establish a system to organise, store and share information and knowledge
- Conclude the resource mobilisation strategy action plan and the partnership strategy.

UN-Habitat (2017) Governing Council of the United Nations Human Settlements Programme — Activities of the United Nations Human Settlements Programme, Addendum: Working group on programme and budget: Report of the Executive Director

Methodology & what was being assessed

The Working Group on Programme of Work and Budget (2017), established by the Committee of Permanent Representatives (CPR) has formulated since its constitution in 2015 several actionable sets of recommendations to the Executive Director.

Findings

Recommendations have been focused on:

- The need to strengthen communications and external relations
- Improve the gender balance
- Revising its business model
- Written updates on all the subprograms of UN-Habitat

Recommendations

The mandate of this Working Group has been extended due to the need to continue strengthening the oversight role of the Governing Council and the Committee over UN-Habitat work and assure implementation of the recommendations made so far.

DFID (2011) Multilateral Aid Review: Assessment of United Nations Human Settlements Programme, https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/67594/UN-human-settlements-prog.pdf.

Methodology & what was being assessed

The evaluation assessed its objective of leading to a real improvement in performance on the ground, to stimulate agencies to improve their value for money, transparency and put in place robust management systems. They have conducted a detailed assessment of how the multilateral system performs by examining every agency which receives more than £1 million of annual core funding from DFID, asked how their work aligns with UK development and humanitarian objectives, and assessed the quality of their organisational performance. They conducted detailed agency assessments, collecting evidence and scoring each multilateral partner on two indices.

Findings

Among the many findings and results of the assessment, the most relevant to the HLP are:

- Many of the issues it works on are covered by other agencies (e.g. UNDP, UNICEF)
- While addressing important issues it is relatively small scale and overlaps with other MOs
- UN-HABITAT operational role has a strong focus on the environment and tackling climate change. But no evidence could be found on its safeguards policy or that it is making a significant impact on the ground
- It spends significant resources in middle income countries (including upper middle income countries)
- Reports have highlighted the challenges UN-HABITAT has in scaling-up pilot projects
- UN-HABITAT's strategic plan is relatively weak. It remains resistant to embedding results-based management and evaluation
- Institutional performance has been a major concern of donors and is judged to be weak overall
- No evidence was found that savings are recycled into better performing parts of the organisation, that UN-HABITAT is able to make predictable long term financial commitments or that it releases aid flows according to schedule
- UN-HABITAT's financial oversight system is adequate but other aspects of financial management are weaker
- No evidence was found that UN-HABITAT is controlling administrative costs or focusing on its comparative advantage. On the contrary, some new priorities have been adopted
- No evidence was found that senior management has established objectives for cost effectiveness or VFM
- UN-HABITAT has developed good partnerships and networks
- UN-HABITAT does not operate under a presumption of disclosure
- It provides some information on projects to the governing body but does not publish full details on project performance
- UN-HABITAT is weak on transparency but stronger on accountability to partner governments

- Large parts of the senior management team have been resistant to change in the past. It will require ambitious reform for UN-HABITAT to become a highly performing organisation making a critical contribution to the MDGs
- While some reform efforts are underway the organisation's track record on improvement is not strong.

Recommendations

In March 2011 the Department for International Development's (DFID), the UK governments ceased all funding for UN-Habitat.

UN-Habitat (2015). Review of the Governance Structure of United Nations Human Settlement Programme, HSP/GC/25/2/Add.1-Report of the Executive Director. United Nations Human Settlement Programme,

Methodology & what was being assessed

The Executive Director of UN-Habitat submitted a report on the review of the governance structure to the Governing Council at its twenty-fourth session in 2015. Under the auspices of the President of the Governing Council and facilitated by the Chair of the Open-ended Consultative Group in consultation with the secretariat, members of the Council were subsequently engaged in informal discussions, through a contact group, on options for the strengthening of UN-Habitat and the reform of the governance structure.

Findings

Despite the discussions on options for the strengthening of UN-Habitat and the reform of the governance structure, opposing views held by members of the Governing Council on the matter led to no consensus and, as a result, the governance structure has remained unchanged. Some donors signalled that they would link their level of engagement with UN-Habitat with the governance issue, and cuts in financial contribution to UN-habitat by some donors is linked to the issue.

Recommendations

The Chair of the Committee of Permanent Representatives, in consultation with the Executive Director, resumed informal discussions on governance reform in 2014.

UN Habitat (2017) Mid Term Evaluation of the Implementation of UN-Habitat's Strategic Plan, 2014-2019,
<https://unhabitat.org/wp-content/uploads/2017/05/2017-05-01-Final-Report-UN-Habitat-Strategic-Plan-Mid-Term-Evaluation.pdf>

Methodology & what was being assessed

This evaluation assessed progress achieved in implementing the Strategic Plan, determine whether UN-Habitat is achieving transformational results, and make recommendations about improvements that will strengthen performance. The evaluation included a broad document review, interviews with staff and stakeholders, and two surveys — one among CPR members, another among Implementing Partners.

Findings

- Generally, points to positive progress in the achievement of results
- A continued relevance, effectiveness and impact of the strategic plan
- And good evidence of transformational changes resulting from UN-Habitat's work, namely with national and local stakeholders
- Concerns with information and results reporting — with implications for affirmation of its leading role
- Concerns with progress towards Delivering as One;
- Slow and unwieldy governance structure;
- Internal inefficiencies.

Recommendations

- Gear up to take a strategic, leading role in the NUA and SDG 11
- Enable programmatic integration towards transformative results
- Advocate for 'fit-for-purpose' UN structure and systems
- Improve internal effectiveness and efficiency

European Commission Directorate General Humanitarian Aid and Civil Protection (ECHO) Pillar Assessment of the United Nations Human Settlement Programme (UN-Habitat), Final report, June 2016.

- Pillar 1: Internal control system — the entity has set up and ensued the functioning in all material respects of an effective and efficient internal control system and in accordance to the criteria set by the European Commission.
- Pillar 2: Accounting system — the entity uses an accounting system that provides in all material respects accurate, complete and reliable information in a timely manner and in accordance to the criteria set by the European Commission.

- Pillar 3: Independent external audit — the entity is subject to an independent external audit
- Pillar 4: Grants — the entity applies appropriate rules and procedures.
- Pillar 5: Procurement — the entity applies appropriate rules and procedures.
- Pillar 6: Financial instruments — not applicable.
- Pillar 7: Sub-delegation — the entity applies appropriate rules and procedures.

Implementation of General Assembly resolution 67/226 on the quadrennial comprehensive policy review of operational activities for development of the United Nations system: funding analysis, Report of the Secretary-General, 28 December 2016 (A/72/61-E/2017/4)

Secretary-General's recommendation, contained in his report on the quadrennial comprehensive policy review of operational activities for development of the United Nations system: recommendations (A/71/292/Rev.1) was to attribute an incremental cost to all strictly earmarked contributions.

Recent reports of the Secretary-General on the implementation of the quadrennial comprehensive policy review and on the funding of operational activities for development, however, have included a detailed review and analysis of non-core funding and cost recovery (see A/71/63-E/2016/8, A/68/97-E/2013/87 and A/67/94-E/2012/80) and concluded that core resources are being used to subsidise non-core activities, thereby reducing the share of core funds available for actual programme activities.

Dag Hammarskjöld Foundation and the United Nations Multi-Partner Trust Fund Office (MPTFO) (2016) [Financing the United Nations Development System: Current Trends and New Directions](#)

Although the 2012 QCPR resolution encourages Member States making non-core contributions to give priority to pooled, thematic and joint funding mechanisms, the implementation of this point in the resolution remains weak. The percentage of pooled funds in the non-core development portfolio was significantly lower and ranged between a low of 3.6% in 2010 to a high of 9.6% in 2009 at the height of the MDG Achievement Fund period. Both percentages fall well short of the QCPR indicator agreed in 2012 of 20% of non-core going through pooled funds as a means of strengthening UN coherence. [The resolution does not mention a percentage. However, the QCPR Monitoring and Reporting Framework refers the “% of top ten donors of funds and programmes with core contributions changing by 20 per cent or more from the previous year” as an indicator for the goal *Enhancing the overall funding, in particular core resources*]

Towards enhancing core (unrestricted) funding to the UN Development system in the post-2015 period: a report prepared for the United Nations Department of Economic and Social Affairs for the 2016 Quadrennial Comprehensive Policy Review,

<https://www.un.org/ecosoc/sites/www.un.org.ecosoc/files/files/en/qcpr/qcpr-2016-desk-review-core-funding-paper.pdf>.

No mention to percentages to be allocated to core or earmarked, although indicating that there is an urgent need to explore ways that could enhance core funding to the UNDS including in broadening the contributor (donor) base.

Annex X

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