

**Guidelines for drafting and implementation of the  
National Action Plan on housing, urban  
development and land management in transition  
economies on the basis of the Geneva UN  
Charter on Sustainable Housing**

UN-Habitat, Nairobi  
2017

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# 1. Introduction

## 1.1. *Overview*

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These guidelines aim at supporting countries in developing and implementing their Country Profiles on issues such as housing, land management and urban development. The guidelines are generic in nature and provide general yet concrete guidance on how to undertake the Country Action Planning. The guidelines are borrowing from and supported by cases studies, tools and examples to guide the reader on its use many of which can be found in the Annex of this document. The participating countries were asked to complete surveys about their experiences in developing the Action Plans. This document includes the challenges faced and lessons learned during the process.

The format of the Action Plan depends on the needs resulting from the identified strategic priority issues taken from the UNECE Country Profiles on Housing and Land Management. The guidelines propose six key principles for developing and implementing an Action Plan:

1. To list recommendations and identify them as targets
2. Break into steps for objectives
3. Prioritize
4. Estimate funding and have a financial model
5. Models for interactions between actors
6. Formulate actual results of implementation, monitoring and evaluation

## 1.2 *Statement of Purpose*

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The guidelines aim to guide those responsible for the development and implementation of the country profiles in facilitating the drafting of Action Plans as part of Strategic Development Planning Process.

The guidelines provide knowledge, skills and tools needed to:

- Apply the strategic approach to address priority issues;
- Identify the action area and conduct its diagnosis;
- Design and draft Action Plans;
- Assist in the implementation of the Action Plans.

The Key Areas for the Action Plans created from this document focus on:

- Urban development policy;
- Housing and public utilities;
- Housing Policy;
- Construction;
- Land and property relations;
- Energy.

The main purpose of these guidelines is to set up a system of measures and actions in the sphere of housing, urban development, energy and land management in the context of

implementation of a UNECE Country Profile on Housing and Land Management in transition countries.

The Action Plan Guideline covers subjects related to policy tools and financing mechanisms for actions and measures in the sphere of housing, energy, urban development and land management, their implementation, monitoring and control.

### 1.3 Relationship between Action Plans on Sustainable Housing and the Sustainable Development Goals

Developing action plans that focus on creating sustainable housing contributes directly to the 2030 Agenda on Sustainable Development; specifically to SDG 11, target 1: by 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slum by strengthening the national governments capacities to provide adequate, affordable, and sustainable housing stocks. Through focusing on providing sustainable housing the project also refers to SDG 7 by aiming to increase the energy efficiency of homes and SDG 6 by aiming to increase access to safe water and sanitation.

Figure 1. Sustainable Development Goals



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## UNECE Country Profiles on Housing and Land Management

Country Profiles address background and current situation of housing and land management; additionally, addressing the economic and demographic backgrounds that affect the situations in the respective countries. The legal and financial instruments of the housing sector, spatial planning and urban development are also investigated. Ultimately recommendations are summarized on how to address the identified issues. These recommendations can be adopted into the Action Plan.

For the UNDA 9th tranche Armenia, the Republic of Moldova, Serbia and Tajikistan use these Country Profiles to determine Action Areas for their National Action Plans.

Country Profiles on Housing and Land Management can be found at: <https://www.unece.org/housing/countryprofiles.html>

## 2. Action Plans

Developing Action Plans is a process which helps to translate priority issues into strategies and further develop a string of activities aimed at the implementation of these strategies. Since the process builds on negotiated agreements among stakeholders, the issue of costs and benefits or gains and losses affecting individual groups is made explicit and the subject of negotiation and consensus-building. It is recommended that Action planning shall always adopt a multi-stakeholder approach. This will ensure commitment of participating actors and greatly improve chances that the Action Plans will be realistic and implementable.

The length of time it takes to create an action plan can vary by content and parties involved. A rough estimate would be that the development of an action plan takes several weeks to ensure that it is well thought out and all necessary workshops, expert inputs and consultations were able to take place. However, it is suggested that the process should take no longer than two months. This time frame should ensure that motivation stays high and implementation and follow through remain on everybody's agenda continuously.

### 2.1. *What is an Action Plan?*

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The Action Planning process generally includes six steps:

- Refining the list of recommendations in terms of identifying them as goals
- Decomposing planned measures in the context of identifying phases to achieve the declared goals (timing-bound)
- Prioritization by level of significance (including financial costs and human resources, criticality of implementation)
- Assessing financing sources ratio, and building a financial model
- Identifying models of interaction between actors in the implementation of actions while distribution roles and responsibilities
- Formulating actual results and indicators of success of the implementation of actions

**Action Plan** is an output-oriented actor-specific plan for achieving the objectives of

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an issue-specific strategy; it specifies details of inputs and actions by various stakeholders, with concrete work programs, time-schedules, types and timings of financial and other resource commitments; it is keyed to measurable and time-bound schedules of inputs and outputs; it has been negotiated and agreed by the key stakeholders themselves. In the Action Plan, the costs, resource commitments, actors and time frame are defined and detailed.

#### **Example of Table of contents**

1. Introduction
  - a. Reasoning, country development and background
2. Background (Kept brief and to the point)
  - a. Brief description of current housing situation such as costs, quality, tenure structure and affordability
  - b. Strategic, institutional and Legal Framework
  - c. Stakeholders
3. Action Plan: Steps for implementation
  - a. Action Area diagnosis: Goals and objectives
  - b. Stakeholder commitments and coordination
  - c. Financial Model
4. Implementation Plans
  - a. Time schedule
  - b. Indicators and Monitoring Mechanisms
5. References
6. Annex

## **2.2. Characteristics of Action Plans**

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Before drafting the Action Plan, it is important to agree on the contents to be included in it, and the procedures for negotiating agreements on targets or results, indicators and implementation methods.

Action Plans have a few common characteristics which should serve as guiding principles for their preparation. Action Plans are:

- **problem or priority based** – they address specific issues of priority. These are frequently related to threats or weaknesses or on the contrary strengths or opportunities. However, it is important to ensure that the issue on which the Action Plan is prepared reflects priorities set in the country profiles. It is necessary to make sure that the planned activities address not only the visible effects of the problem, but most main causes;
- **realistic and based on achievable actions** - the planned activities must be within the competencies and capacities of the stakeholders.
- **participatory** - there should be a clear link with stakeholder analysis and stakeholder's participation in the process. The drafting of the Action Plans should consider interests,

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capacities and competencies of individual stakeholders and allow them to negotiate individual commitments on an equal footing;

**Lesson Learned: importance of stakeholder participation in drafting the National Action Plan for Sustainable Housing in Tajikistan**

Respondents from Tajikistan emphasized the importance of involving all stakeholders in the process of developing and agreeing on the content of the National Action Plan. Taking a participatory approach ensures:

- Developing realistic and achievable objectives that consider the capacities of the involved parties;
- Determining a realistic timeframe;
- Instilling a sense of ownership and commitment from the involved parties

Coordinating with the stakeholders was a challenge that Tajikistan faced. One advice that they have offered to countries that were starting the process of drafting a National Action Plan was agree on the content of the NAP with every stakeholder and involved authorities collaboratively.

- **inclusive** – the planned activities must be viewed from the perspective of diverse social groups and must consider special needs of men and women and such disadvantaged or vulnerable groups as ethnic minorities and the disabled;
- **reliant on local resources** – they should make the best possible use of the human, technical and financial resources which are available locally. Plans which foresee a major involvement of external resources (especially financial resources) frequently fail to achieve results as these resources are not available when needed. Extreme reliance on external resources is also not advisable for long-term sustainability of development activities;
- **tangible and concrete** - the Action Plan should clearly define expected outputs and measures by which progress will be assessed. Individual stages should bring visible and tangible results.

While developing and drafting Action Plans it is important to keep in mind these characteristics and ensure that they are reflected in the document.

Each action needs to be clearly defined in terms of:

- Relevance;
- Realistically achievable;
- Specific, result-oriented, quantitative measurability;
- Easily monitored;
- Matching the jurisdiction and implementation capabilities;
- Comparability;
- Time schedule.

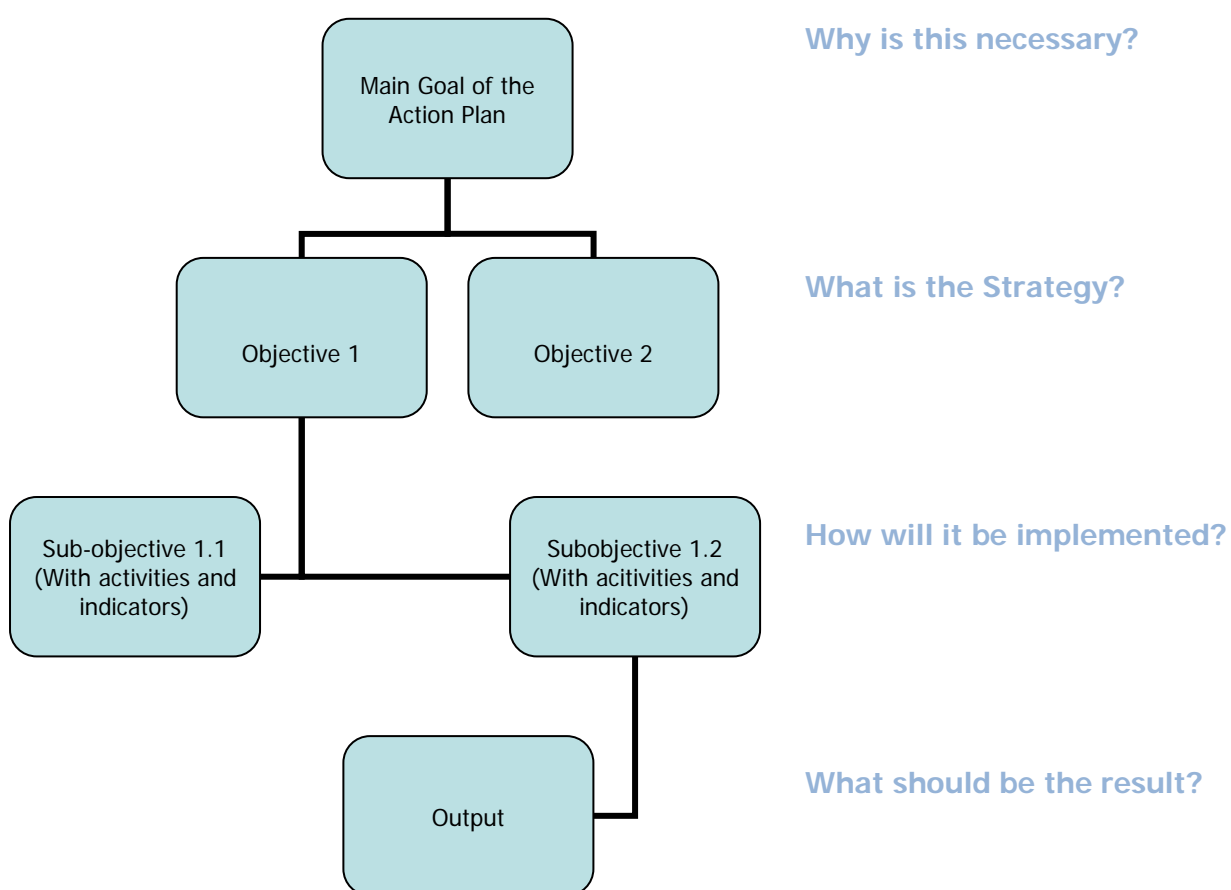
The list of recommendations may be systematized by the type of actions (administrative, organizational and economic, regulatory and legal) or by the type of areas (urban development policy, housing and public utilities, housing policy, land and property relations). For each of the

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identified groups there is a schedule for implementation (with identification of phases), and there is a description of interrelations between actions.

In general, the goals and objectives of the Action Plan are defined by the goal-setting system and its characteristics and illustrated in accordance with it, systems of general indicators, tools and mechanisms for the implementation of the Action Plan are established. Below is a possible form of organizing goals, objectives and activities.

**Figure 2. Structure of an Action Plan**





**Figure 3. Overview table of relations between goals and multiple objectives**

<b>Goal</b>	<b>Main Goal of the Action Plan</b>					
<b>Objective</b>	Objective 1		Objective 2		Objective 3	
<b>Sub-Objective</b>	Sub-objective 1.1.	Sub-objective 1.2.	Sub-objective 2.1.	Sub-objective 2.2.	Sub-objective 3.1.	Sub-objective 3.2.
	Sub-objective 1.3.	Sub-objective 1.4.	Sub-objective 2.3.	Sub-objective 2.4.	Sub-objective 3.3.	Sub-objective 3.4.
<b>Outputs</b>	Output	Output	Output	Output	Output	Output
<b>Activities</b>	Activities		Activities		Activities	

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## 3. The Content and Process of Drafting an Action Plans

There can be many different formats of Action Plans. The structure and contents of an individual Action Plans depends on the nature of the strategic priority identified through the country profiles. The key elements of Action Plans are suggested in the following sections.

### 3.1. *Background*

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The preparation of Action Plans requires good understanding of the current situation of the city or region and its most vital problems and priorities based on the country profile. The selection of strategic priorities and their review in the light of the vision, mission, goals and objectives help to identify specific areas of intervention, which will be further on referred to as Action Areas.

### 3.2. *Action Area Diagnosis*

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The term “Action Area” can be used in relation to a specific territorial area. It can also apply to a specific thematic area such as housing and public utilities, housing policy, construction or land and property relations, which is not limited to any specific territorial area. Moreover, it can concern a broader, cross-cutting issue such as unemployment which is not only a matter of economic development.

It is recommended a few key thematic priority areas (not more than 5) should be identified, which can provide inputs to the strategic planning process. Whereas Action Area Diagnosis (AAD) gives a picture of a specific strategic priority selected during the planning process in terms of stakeholders, profile, SWOT (Strength, Weakness, Opportunity and Threat) and investment capacity. Although the principles of conducting the analytical phase are the same, but in the AAD the results are limited in their scale and scope and focus on the selected area of intervention.

### 3.3. *Stakeholder Commitment and Coordination*

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The Action Planning process might involve intense negotiations among the various stakeholders to reach agreements on the inputs necessary for implementing an agreed set of actions. These commitments are often formalized in an inter-stakeholder memorandum. The signing of such a document gives the stakeholders sense of ownership of the selected strategy and is a formal endorsement of future commitments of required resources such as labor, funds, equipment, facilities, materials and supplies as well as information and technology.

### 3.4. *Structure of Action Plan*

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As already mentioned in the earlier part of these guidelines, there are many possible formats of Actions Plans and many ways of making them clear and easy to use. However, there are some elements which should be included in every Action Plan to make it serve as a guiding tool for co-ordination of other planning activities, implementation and monitoring. They usually

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include: a sequence of required activities, actors, cost estimates or in other words required resources, sources of funding which may also include preliminary commitments, time-frames, coordination mechanism, monitoring mechanism and indicators.

This list of elements is only illustrative. It is neither exhaustive nor restricted to the aspects mentioned above. Many Action Plans summarize these into an overview table, an example of which can be found in 6.2.2.

### **3.4.1. Sequencing of activities**

To become implementable, the selected strategy should be turned into a sequence of specific and logically coherent activities. Some of these activities should come in the sequence; others can be conducted at the same time. It is critical to look at them from this perspective to prepare such a plan which helps accomplish the maximum of expected outcomes. (see 6.1.3.)

### **3.4.2. Preparation of time schedules**

During the developing the Action Plans, the plans should be designed in the way which anticipates proper time schedule for implementation. Time-frames should be realistic and should provide for the earliest and the latest dates of the start-up and completion of the activity. It is practical to analyze links and relations between individual activities to ensure that there are no conflicts between inter-related activities. (see 6.1.3.)

### **3.4.3. Actors**

Once the right sequence of activities has been established, it is important to assign responsibility for performing these activities to a specific person or organization. Actors are those stakeholders who will be assigned specific tasks within the Action Plan. Understanding what implementation instruments they have or control e.g. legislative, economic, technical and other, is extremely important. It will help to make the best match between their powers or interests and the outcomes to be accomplished through the Action Plan.

### **3.4.4. Preparation of cost estimates**

To make the selected strategy work requires resources both, financial and non-financial. At this stage, a rough estimation of costs should be made for each specific activity. The need for other non-financial resources, for instance skilled workers or specialized equipment should also be identified. (see 6.1.2.)

### **3.4.5. Identifying sources of funding**

Obtaining preliminary commitments is necessary to make sure that money and other resources will be delivered when needed and as agreed.

These commitments can be reconfirmed in some formal way to ensure that stakeholders will remember their promises when it comes to the implementation of an action plan. It is practical to negotiate potential contribution from various sources, which may be formally endorsed during or after the process. (see 6.1.2.)

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**Example: sourcing funds in the Republic of Moldova**

The Republic of Moldova took a collaborative approach that included all the involved parties and stakeholders in identifying funding resources. The resources for the realization of their NAP include state budgets, regional budgets, funds from development partners, private investments and other sources. Every organization responsible for a particular segment of the National Action Plan secured its funding. The preliminary agreements were necessary to confirm the commitments of the involved parties.

**3.4.6. Coordination mechanisms**

As Action Plans often involve multiple actors whose contributions are operationally linked, specific mechanisms for coordination must be agreed and put in place.

It is necessary to coordinate efforts of individual Working Groups (in case they have been established) to ensure that they are not proposing conflicting solutions or timeframes. Collaboration both horizontally between ministries and vertically between authorities at various levels and consultation mechanisms in use are important aspects of action planning. There must be a clear coordination mechanism that will ensure that not too many responsibilities are assigned to one party, while others are underutilized and contribute below their capacity.

**Example: creating a working group for implementing the National Action Plan in Tajikistan**

The process of developing a National Action Plan for sustainable housing requires coordination and cooperation between various governmental departments and organizations. The involvement of several departments and organizations in composing the National Action Plan presented some challenges in Tajikistan. The challenge was addressed early in the process of developing the NAP and that is why they were able to quickly overcome it.

Tajikistan formed a working group composed of local and international experts, respected ministries, and agencies. The working group agreed that the National Action Plan was to be realized collaboratively.

Tajikistan highlighted the importance of identifying the capacities, roles, and responsibilities of the involved organizations and authorities before initiating the process of creating the NAP. The process of composing and executing the NAP will become more efficient if the roles and responsibilities of the collaborating parties are clearly defined.

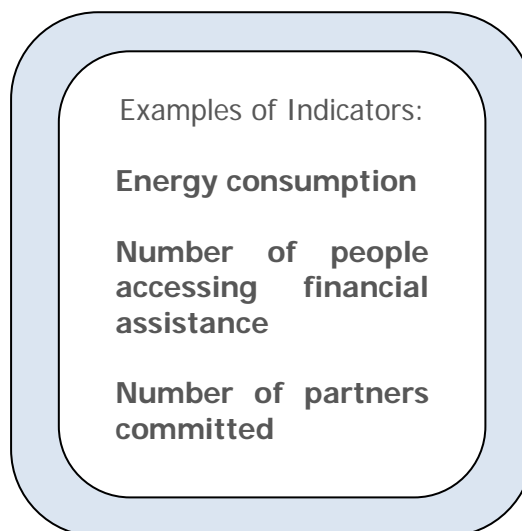
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### 3.4.7. Monitoring mechanism and indicators

It is important to include in the Action Plan measurable indicators for inputs and outputs, and monitoring mechanisms which give an on-going overview of the Action Plan implementation process.

The Action Plan indicators shall be SMART (Specific, Measurable, Achievable, Relevant for the program, and Time-bound). Additional parameters of SMART could be considered when selecting indicators for an Action Plan:

- Relevant to a specific goal
- Informative
- Objective
- Reliable method of data collection
- Complex as part of the complete picture
- Quantitative measurability
- Cost
- Controllable and reliable



#### **Example: monitoring mechanisms and indicators in the Republic of Moldova**

The indicators that the Republic of Moldova used to monitor the implementation of the National Action Plan were easily measurable indicators. The five indicators are:

1. The adopted (approved, signed) laws, government decisions, and documents
2. Amount of constructed social housing
3. Amount of newly issued property titles
4. Amount of the registered real property
5. Amount of distinguished registered real property

These indicators provide quantifiable data that clearly displays the stage of implementation of the National Action Plan for sustainable housing in the Republic of Moldova.

### 3.4.8. Contingency Plans

During the implementation of an Action Plan challenges and difficulties can arise. There are always uncertainties and unpredictable factors which can make something not work out. Therefore, when drafting an Action Plan, it is useful to think, who (if needed) can substitute individual actors in performing activities assigned to them, who (if needed) can provide required resources, especially in-kind contributions such as equipment, labor, materials and supplies, facilities and information and technology.

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If the developed Action Plan collapses or becomes impossible to implement due a major problem, you may need to go back and select other alternatives or activities. As the Theory of Change describes, the desired outcome of an input is not always achieved. Being resilient to change and adjustments can be vital for the implementation of an Action Plan.

### **3.5. Implementation of an Action Plan**

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The implementation of the Action Plan will only be as successful as those standing behind it and as their commitment to following what was agreed upon. The Action Plan should take no longer than two months to develop and it is vital that it does not sit idle. Implementation should be quick to follow and backed by continuous monitoring and evaluation.

Furthermore, thought should be put into how the Plan can be sustainable in the long term. It is best to adopt the Action Plan into legislation to ensure its continuous contributions to solving the issues it addresses. The action plan's purpose is to show the short, mid and long-term actions and objectives leading to long-term goals that will help achieve the overlaying goal determined.

The planning and development goals set should be easily achieved by following the sequencing of events, time scheduling, funding of finance plans, and making adjusting when necessary.

It is also recommended that the implementation of action plans starts and prioritizes 'quick wins', 'low hanging fruits', and activities with immediate impacts. Some of these activities could already be ongoing and shall be able to trigger and maintain momentum.

#### **Example: National Urban Forum (NUF) as follow-ups on implementation**

The NUF Programme was brought to life to strengthen participation in outcome oriented productions and for the mobilization and promotion of National Urban Policy (NUP) development. It is also aimed at strengthening linkages with Habitat III and the New Urban Agenda.

NUF is a multi-stakeholder platform to support the sustainable urban development process and may include consultation, workshops and other capacity development and advocacy activities aimed at local, regional and national levels. It aims to:

- Build knowledge base
- Engage
- Raise Awareness
- Give Policy advice



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Since 2014 NUF have been used through out the world with excellent results in a number of countries. They have been valuable in creating an environment to promote dialogue and consensus among stakeholders. UN-Habitat advocates the consolidation of these multi-stakeholder gatherings into permanent platforms that can substantively contribute and mobilize support for improved urban policies and programming.

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## 4. Conclusion

Developing an Action Plan is a useful tool that ensures the success of a goal. By identifying recommendations, breaking them down into manageable steps, and prioritizing them, a strategic approach is developed. The estimation of funds and developing a financial model ensures the feasibility, additionally following models for interactions between actors will ensure the implementation of the Action Plan.

Monitoring and evaluating is the final step in assessing the progress of the implementation. The plan should be resilient and adaptable to changes if challenges occur that threaten the success of achieving objectives and goals. It should be emphasized that the Action Plan is, as the name already suggests, is action oriented; and that should be the focus of the plan. A well-developed action plan can and should be the foundation upon achieving the specified goals..

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## 5. References

List of Action Plans consulted:

- Federal Republic of Germany (): National renewable Energy Action Plan in accordance with Directive 2009/28/EC on the promotion of the use of energy from renewable sources
- GIZ (2012): Ghana National Urban Policy Action Plan
- GR-DEM (2015): Action Plan for Ukraine 2015 - 2017
- UNECE/UN-Habitat (2016): National Action Plan on Sustainable Housing and Urban Development for Serbia
- UN-HABITAT (2013): Gender Equality Action Plan. Online: <http://unhabitat.org/books/gender-equality-action-plan/>
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- UN-HABITAT (2016): Guiding Principles for City Climate Action Planning
- UN-HABITAT (2016): Guiding Principles for City Climate Action Planning: Glasgow, Scotland (UK) Assessment Report
- Whitehouse (2011): United States National Action Plan on Women, Peace, and Security

Other Documents:

- Ilina, Irina (Geneva, 2016): Presentation “General guidelines on forming goals, objectives and measures in National Action Plans”
- Urban Planning and Management Programme in Kosovo (no date): Training Program for Urban Planning and Management Framework
- UNECE (2015): Guide to drafting National Trade Facilitation Roadmap. New York and Geneva.
- UNECE (2016): Guidelines for drafting National Action Plan for the implementation of recommendations of UNECE country profiles on housing and land management in transition economies on the basis of the Geneva UN Charter on Sustainable Housing
- UNEP (2015): Introduction to Theory of Change/Impact pathways, the ROTl Method and the ROTl Results Score sheet. Online: <https://wedocs.unep.org/rest/bitstreams/9783/retrieve>

Contributors:

Based on: UN-Habitat, Kosovo: “Training Program for Urban Planning and Management Framework: Training Manual Step 1: Developing Actions Plans” Provisional Institutions of Self-Government, United Nations Interim administration Mission in Kosovo.

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## 6. Annex

### 6.1. *Examples of summary tables*

To create an overview of the action plan the following tables may useful to visualize the action plan. Developing an overview table makes it easy for all the involved parties to comprehend the plan. The table can be used as a tool by all partners that will provide them with a better understanding of the roles that they will play in implementing the action plan.

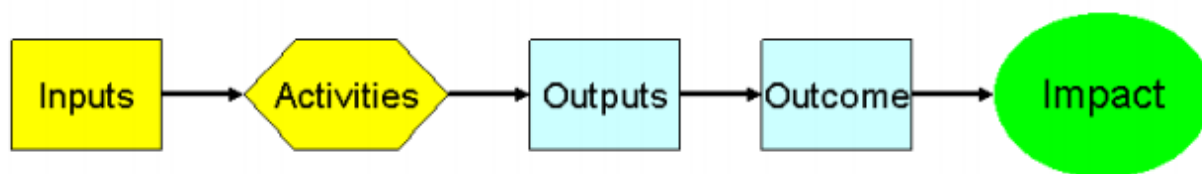
#### 6.1.1. Establishing interrelations between goals, objectives and actions

Goal	Objectives	Actions
Area 1. Urban Development Policy		
	Objective 1.1.	Action 1.1.1.
		Action X
	Objective 1.2.	Action 1.2.1.
		Action X
	Objective XX	Action 1.3.1.
		Action X
Area 2. Housing and Public Utilities		
...		

### 6.2. *Theory of Change*

For further reading on this topic, read UNEP (2015): Introduction to Theory of Change/Impact pathways, the ROTI Method and the ROTI Results Score sheet. Online: <https://wedocs.unep.org/rest/bitstreams/9783/retrieve>

A brief and very basic description: The theory of change aids in creating a strategic output. It is a way to have a better understanding and reflect upon the project impacts, both intended and most likely. In its most basic form it can be seen as a string as shown below.



(Source: UNEP (2015) <https://wedocs.unep.org/rest/bitstreams/9783/retrieve> )

The Theory of change could also be understood as a cycle that accompanies the implementation of an Action Plan reviewing progress between outcome and input.

### 6.2.1. Methods of valuation of financial resources required for the implementation of the Action Plan

Areas of Financing	Sources of Financing	Costs (...), years			
		the first year of implementation of action	year of implementation of action	year of implementation of action	year of implementation of action
Area 1. Urban development policy					
Goal of the Action Plan	total, ...				
	public budget, ...				
	regional (provincial) budget, ...				
	local (municipal) budget, ...				
	other sources, ...				
Objective 1 of the Action Plan	total, ...				
	federal budget, ...				
	regional budget, ...				
	local budget, ...				
	other sources, ...				
Activity 1.1.	total, ...				
	federal budget, ...				
	...				

**6.2.2. Form of the summary table for drafting Action Plans**

<b>N o.</b>	<b>Action</b>	<b>Document type</b>	<b>Term</b>	<b>Assigned Persons</b>	<b>Sources and Scope of Financing</b>	<b>Implementatio n mechanism (Phased scheme of action implementatio n)</b>	<b>Require ments to the results</b>	<b>Reportin g and control</b>	<b>Relevant principle of the Geneva UN Charter on Sustainable Housing</b>
<i>Global Goal</i>									
<i>1. (e.g.)Urban Development Policy</i>									
<i>Goal. 1.1.</i>									
<i>Objective 1.1.</i>									
<i>Objective 1.2.</i>									
<i>2. (e.g.)Housing and Public Utilities</i>									
	...								

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### 6.3. **Models of financing actions and projects**

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Models on financing actions and projects are developed based on the nature of actions, conditions, sources, goals, and financing schedule.

According to financing conditions, the models are developed based on:

1. *Internal sources.*
2. *Raising grant financing* which includes grants and special agreements, charitable contributions, public funding (loans, subsidies – direct or indirect).
3. *Debt financing* in the following formats: credits, loans, loanable funds (banking and non-banking, long and short-term, against various collaterals); commercial (commodity) loans; issue of debt securities (bond loans); factoring; investment tax credits; issue of promissory notes; cross-cancellation of debts; repurchase transactions; letters of credit, etc.
4. *Combined financing*, which involves: project financing; unsecured loans; loans to be converted into shares; venture financing; strategic alliances, joint ventures, limited partnerships, co-partnerships; financing provided by large financial institutions, and other combinations of conditions, sources and methods.

Based on the *sources* of financing, projects can be financed by:

- 1) *individuals and economic entities* as: sale of shares to investors; project financing; unsecured loans; loans to be converted into shares; venture capital financing; credits, loans, loanable funds (non-banking); strategic alliances, joint ventures, limited partnerships, co-partnerships;
- 2) *financial institutions* as: credits, loans, loanable funds (banking); sale of shares to investors; project financing; unsecured loans; loans to be converted into shares; venture capital financing; grants, research and development agreements; charitable contributions; insurance of export operations; financing from major financial institutions;
- 3) *the State* by means of: public funding; investment tax credits; grants and research and development agreements; charitable contributions;
- 4) *external donors and international development institutions* as targeted subsidies.

### 6.4. **Examples**

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The following section offers a few examples of tables and diagrams from existing Action Plans from various regions and different topics. They offer guidance on how the summaries of Action Plans may look like, and aid in choosing what best fits the Plan being developed. They include indicators, monitoring, financing, timeline development as well as goals and objectives.

## 6.4.1. National Renewable Energy Action Plan (Germany)

**Table 5: Overview of all policies and measures**

<i>Name and reference of the measure</i>	<i>Type of measure*</i>	<i>Expected Result **</i>	<i>Target group and/or activity***</i>	<i>exists/is planned</i>	<i>Date of beginning and end of the measure</i>
<b>1. Renewable Energy Act (EEG)</b>	Legislative	Increased share of renewable energies in electricity	Investors, private households	Exists	Start: April 2000 (as a follow-up regulation to the Electricity Feed Act of 1991); amendments 2004 and 2009; next revision in 2011; the law is not limited in time.
<b>2. Renewable Energies Heat Act (EEWärmeG)</b>	Legislative	Increased share of renewable energies in the heating of buildings (focus on new buildings)	Building owners (private and public)	Exists	Start: Jan 2009; first revision 2011
<b>3. Market Incentive Programme (MAP)</b>	Financial	Investments in renewable energy in heating	Private households, investors	Exists	Start: 1999 financed from funds established in EEWärmeG; until 2012
<b>4. KfW-funding-programs (e.g. CO<sub>2</sub>renovation-program)</b>	Financial	Energy efficiency measures and investments in renewable energy in buildings	Private households, investors, building owners, municipalities, social services	Exists	e.g. Start: 1996 End of measures 2011
<b>5. Combined Heat and Power Act (KWKG)</b>	Legislative	New construction, modernization and operation of CHP-plants and heating networks	Power plant operators, energy suppliers, investors	Exists	Start: April 2002, amendment in January 2009
<b>6. Energy Saving Ordinance (EnEV)</b>	Legislative	Compliance with minimum standards for energy efficiency in buildings and heating/cooling systems in new construction and renovation of residential and non-residential buildings	Building owners (private and public)	Exists	Start (current version dated 1.10.2009): October 2007 Basis: Energy Saving Ordinance of 28.03.2009; next amendment 2011/2012

## 6.4.2. Example Budget from Action Plan for Ukraine 2015 – 2017

APPENDIX I - DRAFT BUDGET ACTION PLAN FOR UKRAINE 2015 – 2017 (in Euros)

THEMATIC AREAS	TOTAL	2015	2016	2017
1. Constitutional reform and functioning of democratic institutions	4 285 714	1 071 429	1 607 143	1 607 143
2. Reform of Judiciary	11 785 714	2 946 429	4 419 643	4 419 643
3. Democratic Governance	8 571 429	2 142 857	3 214 286	3 214 286
4. Economic Crime	7 500 000	1 875 000	2 812 500	2 812 500
5. Human Rights	12 857 143	3 214 286	4 821 429	4 821 426
<b>TOTAL</b>	<b>45 000 000</b>	<b>11 250 000</b>	<b>16 875 000</b>	<b>16 875 000</b>

Ongoing projects	4 324 102
Secured	7 034 664
Required	33 641 234
<b>TOTAL</b>	<b>45 000 000</b>

## 6.4.3. U.S. National Action Plan on Women, Peace, and security

Outcome 1.1: Agencies establish and improve policy frameworks to support achievements in gender equality and women's empowerment throughout our diplomacy, development, and defense work.	Actions	Implementing Department or Agency
	Incorporate NAP objectives in strategic and operational planning, such as Bureau and Mission Strategic and Resource Plans (BSRPs and MSRPs) and Operational Plans, as appropriate. Disseminate guidance to all operating units on gender integration.	State, USAID
	Establish comprehensive, revised Agency-level policy on gender integration and women's empowerment by the end of 2011 through existing Gender Policy Task Team.	USAID
	Incorporate NAP objectives into appropriate DoD strategic guidance and planning documents.	DoD

#### 6.4.4. Excerpt from National Action Plan on Sustainable Housing and Urban Development for Serbia

ACTION PLAN ON SUSTAINABLE HOUSING AND URBAN DEVELOPMENT							
Housing policy development							
	Objective	Activity	Timing of the action	Costs for implementation /stakeholders	Responsible institution/pool of relevant NGOs	Progress indicators	Reporting and evaluation
Housing policy framework	Improvement of the housing policy framework	Development of the National Housing Policy (NHP); appointment of the working group and identification of key stakeholders; initiation of dialogue between key stakeholders on the need for the NHP; preparation of the NHP document; organization of public hearings and debates; informing the public; Government confirmation; adoption by the Assembly	2015-2016	Running costs of the MCTI, Expenses for engaged experts, Funds for the organization of workshops and public hearings	The MCTI and other relevant ministries, in cooperation with the AHA, the SCTM and the RHA	Decision on the appointment of the working group, Number of meetings of the working group, Number of participants in the public hearings, Draft NHP	MCTI report, Online information, Government report, National Assembly website
Policy on condominium management and refurbishment of existing housing	Improvement of the maintenance and management of housing condominiums	Adoption of the action plan for the reform of the management and maintenance of housing condominiums (the first draft is prepared); identification of key stakeholders and the initiation of dialogue on the	2015-2016	Running costs of the MCTI, Costs of the AP preparation, Funds for the organization of workshops and public hearings	The MCTI/ Ministry of Justice, in cooperation with the SCTM, the NHA, the NHMIC and a	Number of participants in the public debate, Number of workshops Approved pilot projects	MCTI report, Online information, Government report

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### 6.4.5. Gender Equality Action Plan.

Online: <http://unhabitat.org/books/gender-equality-action-plan/>

#### 2.3 Action Area 3: Land and Housing

##### OUTCOMES

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- *Security of tenure and safety in housing for women in selected countries is improved, including in crisis-prone and post-crisis countries;*
- *Women's organizations' capacity to participate in the development and implementation of shelter relief and reconstruction models in post-conflict and post-disaster areas is enhanced.*

##### INDICATORS OF ACHIEVEMENT

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- *An agreed number of countries adopting effective gender- and age-sensitive housing, land and property strategies and associated improved legal and regulatory frameworks;*
- *An agreed number of women's organizations and women participating in and benefiting from development and implementation of sustainable shelter relief and reconstruction in post-conflict and post-disaster areas.*

#### 2.5 Action Area 5: Strengthened Human Settlements Financing Systems

##### OUTCOMES

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- *Finance institutions adopt policies to make finance available for affordable housing and infrastructure with specific windows for poor women and youth;*
- *Women's organizations are empowered and access by women and youth to finance affordable housing and infrastructure is increased.*

##### INDICATORS OF ACHIEVEMENT

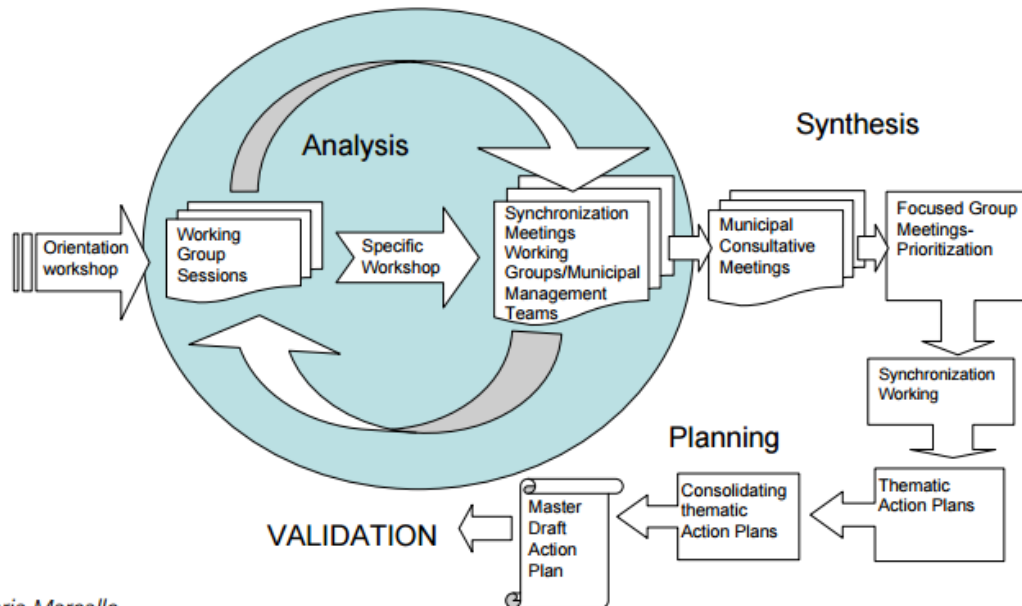
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- *An agreed number of slum-dwellers and women's organizations empowered to access institutional credit for housing, through effective organization;*
- *An agreed number of countries with pro-poor and women's housing programmes, finance institutions and support systems utilizing domestic capital.*



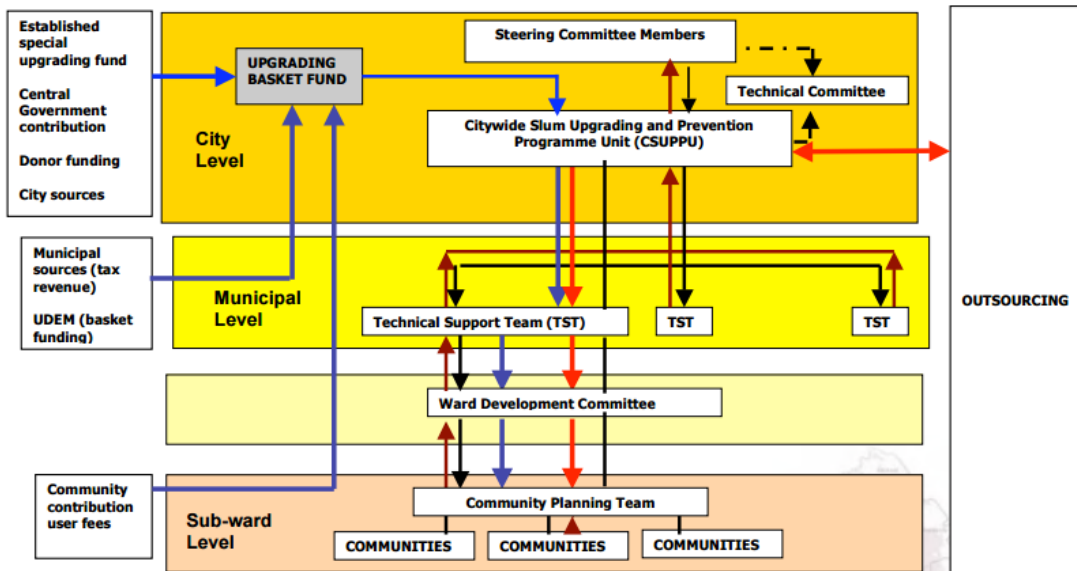
## 6.4.6. Citywide Action Plan for Upgrading Unplanned and Unserviced Settlements in Dar es Salaam

FIGURE 5: PARTICIPATORY ACTION PLANNING IN FOUR STAGES



Source: Maria Marealle

FIGURE 15: THE INSTITUTIONAL FRAMEWORK FOR IMPLEMENTING THE CITYWIDE ACTION PLAN



Source: Action Plan Working Groups

**TABLE 3: ESTIMATED COST FOR IMPLEMENTATION OF CITYWIDE ACTION PLAN**

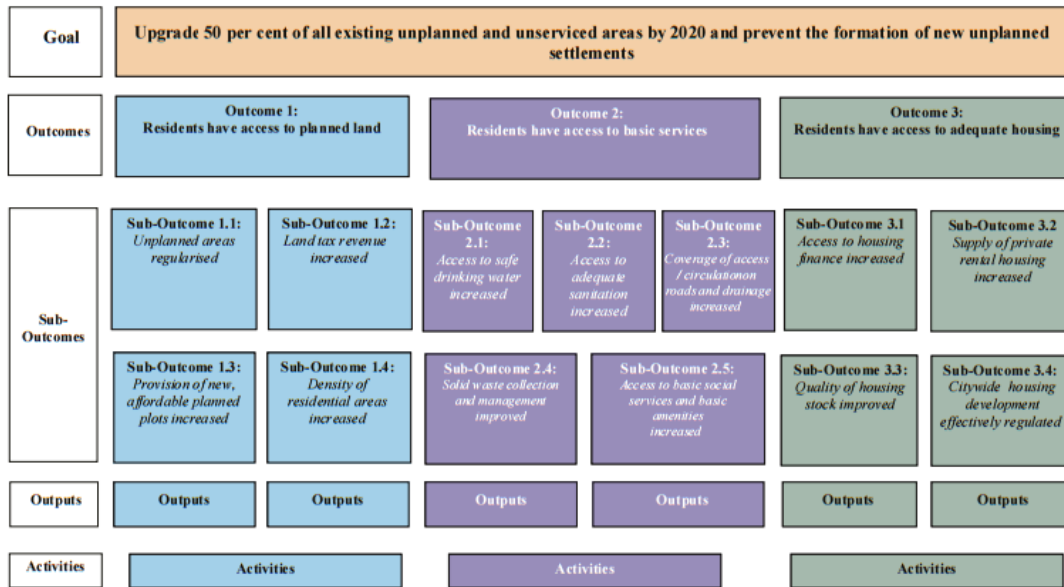
THEMATIC ACTION PLAN	SHORT TERM	MEDIUM TERM	LONG TERM	TOTAL (TZS BILLIONS)	TOTAL (USD MILLIONS)
Land Action Plan	1.42	864.59	16.00	882.01	649.97
Basic Services Action Plan	56.90	154.40	191.18	402.48	296.60
Housing Action Plan	1.53	21.97	3.69	27.19	20.04
Capacity Building Action Plan	1.97	3.34	0.12	5.43	4.00
Total	<b>61.81</b>	<b>1,044.30</b>	<b>210.99</b>	<b>1,317.10</b>	<b>970.60</b>
Contingency	12.36	208.86	42.20	263.42	194.12
<b>Grand Total Estimated Cost (TZS billions)</b>	<b>74.18</b>	<b>1,253.16</b>	<b>253.19</b>	<b>1,580.53</b>	<b>1,164.72</b>
<b>Grand Total Estimated Cost (USD millions)</b>	<b>54.66</b>	<b>923.48</b>	<b>186.58</b>	<b>1,164.72</b>	

Source: Financing Expert Henry Chalu

TZS 1,357 = USD 1 (according to official United Nations rate of exchange in April 2010)

SUB-OUTCOME 3.3: QUALITY OF HOUSING STOCK IMPROVED					
Outputs	Activities	Estimated budget (TZS)	Estimated budget (USD)	Responsible	Location
<b>SHORT TERM</b>					
<b>Situation analysis/baseline survey of the city's housing stock with recommendations for technical assistance for housing improvements</b>	Undertake baseline survey on current housing stock: quantity, quality, conditions, types, occupancy rates, building materials, sizes, tenure, services, annual needs of new housing units/backlog, assessment of existing building codes, standards and procedures	358,797,000	264,405		Citywide
<b>Guidelines, standards and codes for development of new affordable housing</b>	Develop, approve and adopt affordable building codes, standards and procedures (including issuance of building permits) for development of new housing units	44,879,700	33,073		Citywide
<b>Guidelines, standards and codes for the upgrading on housing in unplanned areas</b>	Develop and approve building codes, standards and processes for application to housing improvements in Upgrading unplanned settlements	44,879,700	33,073		Citywide
<b>MEDIUM TERM</b>					
<b>Citywide housing development programme</b>	Develop a citywide housing programme (based on provisions in the National Housing Policy)	31,439,850	23,169		Citywide
<b>Houses in unplanned areas upgraded</b>	Implement housing upgrading programme according to approved building codes, standards				Unplanned
<b>Urban development control enforced</b>	Develop and implement mechanism to enforce urban development control and strengthen municipal supervisory role in housing development	31,439,850	23,169		Citywide
<b>Increased capacity of artisans and youth in housing improvement</b>	Build the capacity of local artisans and youth in housing improvement in unplanned settlements (based on building codes and standards)	1,080,445,500	796,202		Citywide
<b>Performance standards for building materials, technologies and designs</b>	Collect and disseminate information (performance standards) on affordable building designs, materials and technology	31,439,850	23,169		Citywide
<b>LONG TERM</b>					
<b>Houses in unplanned areas upgraded</b>	Implement housing upgrading programme according to approved building codes, standards				Citywide
<b>Availability of affordable building materials and skilled labour; local income generation</b>	Undertake housing upgrading activities through youth and women groups (local production of building materials and supply of skilled labour)				Unplanned areas

FIGURE 16: RESULTS-BASED STRUCTURE OF THE CITYWIDE ACTION PLAN



Source: Action Plan Working Groups

Monitoring and Evaluation:

<b>3. RESIDENTS HAVE ACCESS TO ADEQUATE HOUSING</b>	3.1. Access to housing finance increased	<ul style="list-style-type: none"> <li>Number and percentage of communities accessing affordable short-term loans for home improvements and long-term loans for new housing construction</li> <li>Proportion of bank loan portfolio utilised for affordable housing finance</li> </ul>	<ul style="list-style-type: none"> <li>Household surveys to establish access to short and long-term housing loans</li> <li>Loan disbursement and repayment data collected from financial institutions</li> </ul>	<ul style="list-style-type: none"> <li>Macro-economic stability maintained</li> <li>Credit management culture inculcated into society</li> </ul>
	3.2. Supply of private rental housing increased	<ul style="list-style-type: none"> <li>Level of integrating guidelines in regulating formal and informal rental markets</li> <li>Quantity of new rental housing stock</li> </ul>	<ul style="list-style-type: none"> <li>Periodic data collection to establish increase in rental housing stock</li> </ul>	<ul style="list-style-type: none"> <li>Role of rental housing recognised at national level</li> <li>Landlords get incentives to produce rental housing</li> </ul>
	3.3. Quality of housing stock improved	<ul style="list-style-type: none"> <li>Extent of integration of affordable building codes, standards and processes for housing improvement and development</li> <li>Number of improvement loans received by homeowners</li> <li>Number of houses provided with basic services</li> </ul>	<ul style="list-style-type: none"> <li>Field surveys to monitor improvements in housing quality over reporting period</li> </ul>	<ul style="list-style-type: none"> <li>Macro-economic stability maintained</li> <li>Cost of construction remains stable</li> </ul>
	3.4. Citywide housing development effectively regulated	<ul style="list-style-type: none"> <li>Number and percentage of houses conforming to revised building codes and standards</li> <li>Level of satisfaction of low-income households with the houses they live in</li> </ul>	<ul style="list-style-type: none"> <li>Field surveys to monitor housing quality over reporting period against approved criteria</li> <li>Household surveys to assess satisfaction levels</li> </ul>	<ul style="list-style-type: none"> <li>Building codes, standards and processes accepted by officials and professionals</li> </ul>

## 6.4.7. GIZ National Urban Policy Ghana

### 2. ACTION AREAS

**Action Area 1: Balanced Re-distribution of Urban Population**  
**Policy Objective:** To facilitate a balanced re-distribution of urban population

Policy Initiative	Key Activities	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	Implementing Bodies
1.1 Create and develop new growth points as counter-magnets to fast growing cities such as Accra and Kumasi	1.1.1 Study and document the national urban system to identify functions and gaps within the urban hierarchy	X					NDPC, MLGRD (UDU)MEST (TCPD)
	1.1.2 Identify potential growth points within the urban hierarchy	X					NDPC, MLGRD (UDU)MEST (TCPD)
	1.1.3 Make appropriate investments in infrastructure and services in the identified growth points		X	X	X	X	MMDAs, ISMA's, MLGRD, GIPC, MOFEP
	1.1.4 Enhance employment and income generation in strategically selected growth points.		X	X	X	X	MDAs, SIF, NBSSI
	1.1.5 Prepare national/regional/district Spatial Development Frameworks to guide the location of economic investments, infrastructure and services into new growth areas		X	X	X	X	NDPC, MEST (TCPD)MMDAs (PPD), RCCs
1.2 Promote accelerated growth of small and medium-sized towns (including district and regional capitals)	1.2.1 Identify potential and vibrant small and medium sized towns	X					NDPC, MLGRD (UDU)MEST (TCPD), MMDAs
	1.2.2 Make enhanced investments in infrastructure, services and economic activities in the identified towns.		X	X	X	X	ISMA , MDAs, MMDAs, GIPC
	1.2.3 Promote employment and income generation, including support for SMEs		X	X	X	X	MMDAs, MDAs, NBSSI, SIF, Private Sector
	1.2.4 Strengthen linkages (transport, communication) among and between the towns and their hinterlands		X	X	X	X	MMDAs, MOC, MRH (GHA, DFR, DUR) MOT