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INTRODUCTION

The purpose of this paper is twofold: to serve as the basis for discussion in Committees II and III of the Conference and as a provisional draft of the document to be approved, as amended, by the Conference. As indicated in the annotated agenda (A/CONF.70/2), Committee II will deal with settlement policies and strategies; settlement planning; and institutions and management. Committee III will deal with: shelter, infrastructure and services; land; and public participation.

The challenge

The fundamental challenge of human settlements is how to improve the quality of life, starting with satisfying basic needs and aspirations of peoples consistent with principles of human dignity. The circumstances of life for vast numbers of people are unacceptable and continuing to deteriorate further as a result of population growth which, in the next 25 years, will more than double the need for food, shelter and other requirements; unbalanced economic development which results in gross inequities and wide disparities in the standards of living; rapid unplanned urbanization which aggravates the problems of both rural and urban areas; rural dispersion exemplified by small scattered settlements which inhibit the provision of infrastructure and services; and the general deterioration in social, ecological and environmental conditions.

In meeting this challenge, human settlements must be seen as a key instrument of development. Policies and strategies realistically adapted to local conditions must be adopted; deliberate planning undertaken at the national, regional and local levels. Such policies and planning must be backed up by institutions properly geared to their development and implementation. The provision of shelter, infrastructure and services must be accepted as a national goal and opportunities created for effective participation by all people in the planning, building and management of human settlements. Land must be recognized as a key resource for human settlements and, therefore, subject to public ownership or effective control.

The place of recommendations for national action in the Conference documentation

The Declaration of Principles (A/CONF.70/4) provides a broad framework for a world-wide consensus on the problems and opportunities, general principles and guidelines for action. Thus, it is from the Declaration of Principles that the recommendations for national action derive their broad objectives. On the other hand, programmes for international co-operation (A/CONF.70/6 and Add.1) are meant to support national action. Hence, recommendations for national action, while primarily aiming at action to be taken by individual countries, pre-suppose international co-operation, both global and regional, to strengthen national efforts.

The general nature of the recommendations

Considering the vast differences among countries in their political, social, economic and cultural situation, it is clear that recommendations for national action cannot be complete or universally applicable. With this proviso, an attempt has been made to formulate recommendations which would be applicable to a large number of countries.

Other significant features include: solution and action orientation, selectivity in terms of subjects and issues identified during the preparatory process, differentiated whenever possible by national, regional and local scale and in terms of functional role, i.e. policy, planning and programmes.

The structure of the document

The structure of the document follows the six main subject areas of the provisional agenda. A brief introduction of these subjects is followed by sets of recommendations under convenient headings. Each operational recommendation in capsule form in capital letters, is preceded by a brief rationale and followed by suggestions concerning its implementation.

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RECOMMENDATIONS

A. Settlement policies and strategies

1. The main objectives of human settlement policies and strategies are recalled in the Declaration of Principles (A/CONF.70/4), first in the form of general principles and then as guidelines for action. These objectives can be summed up as follows:

(a) The rapid and continuous improvement in the quality of life of all people, beginning with the satisfaction of the basic needs and without discrimination of any kind;

(b) According of priority to the needs of the least advantaged people;

(c) Protection of the environmental resources upon which life itself depends;

(d) Reduction of disparities between rural and urban areas, between regions and within the urban areas themselves;

(e) Preservation of diversities reflected in cultural and esthetic values;

(f) Effective use of all human resources, skilled and unskilled;

(g) Full participation of people in making and implementing decisions affecting their lives.

2. To achieve these objectives, national settlement policies must be formulated and the means for carrying them out must be selected and combined into national development strategies. Human settlements are a reflection of the society which they support and human settlement policies are a powerful instrument for change of that society. Settlement development strategies must be incorporated in the general planning framework and their specific goals must become an integral part of the over-all objectives of national development.

3. Human settlements of today embody the outcome of generations of ideas, decisions and physical investments; it is not possible, therefore, to achieve radical modifications overnight. But population growth and rapid changes in the location of human activities proceed at such a pace that, by the end of the century, we shall have to build "another world on top of the present one". If properly directed, this formidable task could mobilize untapped resources and be turned into a unique opportunity for changing our man-made environment: this is the challenge of human settlement strategies.

4. In fact, the very construction of the physical components of human settlements - be they rural or urban, in the form of dwellings or roads, with traditional or modern technologies - in sufficient volume to meet the needs of society, could become a leading sector of the economy and a major generator of meaningful employment, instead of being treated as a residual of so-called "productive" activities.

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5. It must be remembered also that, throughout the world, the present role of human settlements was determined by economic and political relationships, many of which are by now obsolete. In the early industrialized countries of the northern hemisphere, the pattern of settlements still bears the marks of the ruthless urbanization of the last century; in the third world, both the hierarchy of settlements and, very often, their internal structures are the physical manifestation of the dual society inherited from a situation of dependence and exploitation. To change these complex and evolving relationships, settlement policies and strategies must be conceived on a scale appropriate to the task and as part of a single concerted effort for the improvement of the quality of life of all people, wherever they live and work.

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Recommendation A.1

A national settlement policy

- (a) Every aspect of life, social, economic, environmental and cultural, is profoundly affected by population growth and rapid changes in the range and location of human activities. The task of dealing with these changes with limited resources presents every nation with both a new challenge and a magnificent opportunity.
- (b) ALL COUNTRIES SHOULD ESTABLISH A NATIONAL POLICY ON THE DISTRIBUTION OF POPULATION AND ECONOMIC ACTIVITIES OVER THE NATIONAL TERRITORY.
- (c) Such a policy should:
 - (i) Reflect the broad objectives stated in the Declaration of Principles;
 - (ii) Recognize that difficult choices must be made between conflicting requirements;
 - (iii) Embody both a firm political commitment and a broad public understanding of its implications;
 - (iv) Be based on a critical assessment of the present human settlements situation, the emerging trends and the impact of past policies.

Recommendation A.2

Human settlements
and development

- (a) Because of the fundamental relationship between the distribution of population, economic activities and the networks of human settlements, national policies for economic and social development can no longer afford to neglect or minimize the role of human settlements.
- (b) A NATIONAL POLICY DEFINING THE ROLE OF HUMAN SETTLEMENT SYSTEMS SHOULD BE AN INTEGRAL PART OF ANY NATIONAL ECONOMIC AND SOCIAL DEVELOPMENT POLICY.
- (c) An integrated human settlement policy should:
 - (i) Be elaborated through a truly interdisciplinary approach, preferably at the same time as policies concerning related sectors;
 - (ii) Be formulated at the highest political level;
 - (iii) Be consistent with the preservation and improvement of the natural and man-made environment;
 - (iv) Be directed at all settlements, rural or urban, dispersed or concentrated, old or new;
 - (v) Be considered in all efforts to implement the New International Economic Order.

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Recommendation A.3

Content of national human
settlement policy

- (a) Institutions responsible for planning and programmes at all levels of national development need to receive clear guidelines from an explicit policy statement on human settlement issues.
- (b) A NATIONAL HUMAN SETTLEMENT POLICY SHOULD CONCENTRATE ON KEY ISSUES AND PROVIDE BASIC DIRECTIONS FOR ACTION.
- (c) The main purposes of such a policy should be:
 - (i) To translate the goals of national development in spatial terms;
 - (ii) To outline strategies appropriate to different time perspectives and different scales;
 - (iii) To establish clear priorities among regions and areas, especially in relation to the location of investment and infrastructure and the satisfaction of the needs of various social groups;
 - (iv) To set minimum and maximum standards which should be expressed in qualitative and quantitative terms, based on indigenous values, related to local resources and abilities, capable of evolving over time and developed with the full participation of all those concerned;
 - (v) To clarify responsibilities of the major development agents, in particular between the public and private sectors, among central government departments, between national and local government and so on.

Recommendation A.4

More equitable distribution

- (a) Wide disparities of living standards from one region to another, between urban and rural areas, within individual settlements and among various social and ethnic groups are both a cause of many human settlement problems and an effect of inadequate policies. Human settlement policies can become powerful tools for redistributing income and opportunities.
- (b) HUMAN SETTLEMENT POLICIES MUST CONTRIBUTE TO A MORE EQUITABLE DISTRIBUTION OF THE BENEFITS OF DEVELOPMENT OVER THE DIFFERENT REGIONS AND AMONGST THE DIFFERENT GROUPS.
- (c) This can be done, inter alia, through:
 - (i) The location of public sector investments;
 - (ii) The allocation of direct subsidies to selected regions and groups;
 - (iii) The incentives and disincentives (fiscal, legal, etc.) to favour selected activities or areas;
 - (iv) The creation of special employment, training and social service opportunities in favour of the most deprived;
 - (v) The deliberate improvement of conditions in and the image of the most disadvantaged settlements, so as to enhance attraction of such areas in relation to others.

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Recommendation A.5

Settlement development
strategies

- (a) The attainment of the goals of national development over the whole field of human settlements and the redistribution of the benefits of development over different regions and among different groups, require a strategy which confronts all the relevant issues, makes the necessary choices of means and allows for future change.
- (b) NATIONAL HUMAN SETTLEMENT STRATEGIES MUST BE DELIBERATE, COMPREHENSIVE AND FLEXIBLE.
- (c) Such an approach requires:
 - (i) Clear designation of the body responsible for policy formulation;
 - (ii) Active participation of all governmental bodies and non-governmental organizations concerned in policy formulation and strategy development;
 - (iii) Where appropriate, legislation requiring policy formulation and review at specified times;
 - (iv) A mechanism for periodic review to take new important development into account.

Recommendation A.6

Allocation of resources

- (a) Where adequate resources for improving the quality of life in human settlements are available they are too often misallocated; where resources are especially scarce the human potential is often ignored.
- (b) THE IMPROVEMENT OF QUALITY OF LIFE IN HUMAN SETTLEMENTS MUST RECEIVE HIGHER PRIORITY IN THE ALLOCATION OF CONVENTIONAL RESOURCES: IT ALSO REQUIRES THE MOBILIZATION OF NEW RESOURCES, ESPECIALLY HUMAN CAPACITIES
- (c) Particular attention should be paid to:
 - (i) Making true social costs and benefits the basis for policy decision and evaluation and not only material product;
 - (ii) Allocating resources on a spatial as well as sectoral basis, with a view to improving efficiency and accountability;
 - (iii) Self-help and self-reliance;
 - (iv) Research priority for development of new sources of energy and new technologies of value to human settlements.

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Recommendation A.7

Constant review

- (a) Because of their complexity, dynamism and persistence, human settlement problems require sustained national attention and continual reassessment.
- (b) GOVERNMENTS SHOULD INSTITUTE A PERIODIC REVIEW OF AND REPORT ON THE STATE OF HUMAN SETTLEMENTS.
- (c) This may be in the form of:
 - (i) A national conference reviewing human settlement problems and issues;
 - (ii) A special report by the Head of State or Government on the achievements and failures of the past period and the goals for the future;
 - (iii) An appropriate section of any existing periodic report on the state of the nation, exclusively and specifically devoted to human settlements;
 - (iv) Inclusion of independent monitoring and evaluation components in all major human settlement programmes, projects and institutions.

B. Settlement planning

6. Policies, which establish objectives, and strategies, which choose between alternative ways of reaching them, must be transformed into plans. Planning is the process of elaborating specific proposals regarding the use of resources in relation to needs, the location of activities and the infrastructural investment required to support them, and the sequence and mode of implementation of specific programmes.

7. Planning activities should promote and guide development rather than restrict or simply control it. Imaginative planning should be stimulative and anticipatory; in many cases it might have to remain open ended and in all cases it should consider options and be based on the best available information and forecasting of demographic, social, economic and technological trends.

8. Although a strict hierarchical order is inappropriate for understanding the network of human settlements and the levels of decisions required to act upon them, it may be convenient to assume that planning is conducted at different scales of geographical coverage: national, regional, local and neighbourhood. To achieve balanced development, planning decisions taken at one level must be related and complementary to those taken at other levels, both "above" and "below", and appropriate machinery must be devised to resolve potential conflicts between them.

9. Planning also operates over significantly different time spans, from a few years up to a generation and more. Decisions taken at one level and within a time framework may have important consequences at another level and on a broader time perspective. The longer the horizon, the more important it is for settlement planning to remain flexible in order to adapt to changing priorities or conditions.

10. In this constant process of adjustment and reconciliation, the notion of region becomes central to settlement planning as a unit smaller than the national whole but larger than the individual settlement itself, however big that may be. More and more countries are faced with the problems posed by metropolitan regions, centred around a very large urban complex, but sometimes spreading until they become contiguous with others. Other regions, especially in the third world, comprise predominantly rural populations and require equal, although different, attention in planning terms.

11. However, the bulk of planning decisions and implementation will continue to occur at the level of the individual settlement. Planning of individual settlements is concerned with the better use of the present stock, through renewal, rehabilitation and other forms of improvements, with the expansion of existing settlements, the integration of marginal or peripheral settlements or the creation of new ones. The relative emphasis on these different modes will, of course, depend on local circumstances, social values and political priorities.

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12. Planning is also crucial in the wake of national emergencies, such as those resulting from natural or man-made disasters, where the meeting of immediate needs must be reconciled with the achievement of long-term goals.

13. Finally, planning is essential at the community level, where the direct involvement of residents in the decisions affecting their daily lives can be achieved most effectively.

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Recommendation B.1

Settlement planning
in national context

- (a) Human settlements do not just happen. They are the result of a multitude of decisions, both public and private. The challenge of planning is to see that such decisions are taken explicitly and coherently, as part of an over-all effort to resolve conflicts and reduce injustice and waste.
- (b) ECONOMIC AND SOCIAL DEVELOPMENT PLANNING MUST PROVIDE THE FRAMEWORK FOR THE FULL INTEGRATION OF SETTLEMENT PLANNING AT THE NATIONAL, REGIONAL AND LOCAL LEVELS.
- (c) Special emphasis should be placed on:
 - (i) A unified development planning approach which attributes to human settlements their proper place by treating them as an integral part of the development process rather than a residual and by stressing the human settlement implications of other sections of development plans;
 - (ii) Recognition of the difficulties inherent in a truly comprehensive approach and the need to evolve new methods and procedures, adapted to actual conditions and subject to continual improvement.

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Recommendation B.2

Indigenous models

- (a) The character of a nation is made visible in its settlements. Foreign models must not dominate planning decisions which should be guided by national goals and implemented by local people making the best possible use of indigenous resources.
- (b) SETTLEMENT PLANNING SHOULD REFLECT NATIONAL PRIORITIES AND ADOPT MODELS BASED ON INDIGENOUS VALUES.
- (c) Special emphasis must be placed on:
 - (i) Clearly stating national goals and ensuring that they are reflected in human settlement planning, in particular with regards to social justice, employment opportunities, economic self-sufficiency and so on;
 - (ii) Actively supporting research and training in indigenous technologies required for settlement planning;
 - (iii) Demonstrating the advantages of local planning approaches based on indigenous values, in particular through pilot projects;
 - (iv) Bringing planning and planners in close contact with the population, with particular reference to the expressed needs of the poor and the potential for self determination.

Recommendation B.3

Availability of resources

- (a) Lack of realism in human settlement planning, occurring too often in the past, not only fails to take account of resource limitations but often wastes the few resources actually available, especially human initiative and imagination.
- (b) SETTLEMENT PLANNING SHOULD BE BASED ON A REALISTIC ASSESSMENT OF THE RESOURCES ACTUALLY OR POTENTIALLY AVAILABLE FOR DEVELOPMENT.
- (c) It is essential that:
 - (i) Availability of resources be placed in an appropriate time context, corresponding to short-, medium- and long-term development goals;
 - (ii) Assessment of the present situation be thorough and frank, without minimizing existing difficulties, potential conflicts or need for change;
 - (iii) Evaluation of alternatives be based on broad criteria, truly reflecting social and environmental values, development objectives and national priorities;
 - (iv) Potential for innovation be recognized, in particular in social and technological systems.

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Recommendation B.4

Scope of national
settlement planning

- (a) Some planning decisions are of national importance; although requiring local, regional and sectoral inputs, they must ultimately be made at the national level.
- (b) SETTLEMENT PLANNING AT THE NATIONAL LEVEL MUST BE CONCERNED WITH THE CO-ORDINATED LOCATION OF RESOURCES FOR DEVELOPMENT.
- (c) This implies:
 - (i) The designation of major types of land use;
 - (ii) The location of major sources of sustained and productive employment;
 - (iii) The definition of a coherent set of relationships between settlements or groups over the national territory;
 - (iv) The outline of the principal infrastructure network (such as transportation, energy supply and communication routes) as well as of the broad distribution of social services (such as health, nutrition and educational services);
 - (v) The identification of regions or areas requiring special attention, either because they are particularly deprived or because they offer unusual potential.

Recommendation B.5

Regional planning:
rural areas

- (a) Regional planning is an essential tool for reconciling and co-ordinating the objectives of urban and rural development. One of the main planning problems in predominantly rural regions and in the rural areas of all regions is the economical provision of adequate services and infrastructure to widely dispersed populations.
- (b) PLANNING FOR RURAL AREAS SHOULD AID AT THEIR REVITALIZATION AND THE OVERCOMING OF THE DISADVANTAGES OF SCATTERED POPULATIONS.
- (c) The following options may be considered:
 - (i) Development of a system of intermediate settlements having sufficient dynamism to counteract the attraction of the great metropolises;
 - (ii) Designation of medium-size towns as service centres for their rural hinterland;
 - (iii) Development of growth poles for relatively undeveloped regions;
 - (iv) Designation of rural development regions to include a number of villages within natural ecological boundaries with a view to providing facilities and services in an efficient and economical manner;
 - (v) Village amalgamation schemes and programmes of shared services and facilities which cannot be provided to dispersed populations.

Recommendation B.6

Regional planning:
metropolitan areas

- (a) Agglomerations, conurbations and, in some countries, megalopolises are new urban phenomena, rendered even more complex when their relationship with surrounding rural areas is rightly taken into account. Only effective regional planning can cope with such complexity.
- (b) PLANNING FOR METROPOLITAN REGIONS SHOULD AIM AT AN INTEGRATED APPROACH OVER THE WHOLE TERRITORY AFFECTED BY THE METROPOLIS.
- (c) Urgent measures include:
 - (i) Provision of institutions and a revenue base commensurate with their role, e.g. a metropolitan tier of government or a special authority to deal with a cluster of interrelated problems requiring an integrated solution;
 - (ii) Modification of the boundaries of metropolitan areas as well as of individual settlements within the metropolitan areas, to correspond to territorial limits;
 - (iii) Co-ordinated management of water supply, transportation, waste disposal, pollution control, health delivery systems and food supply;
 - (iv) Protection of regional ecology.

Recommendation B.7

Scope of local planning

- (a) Within the framework set by national planning, individual settlements of all sizes must be guided in their orderly development by plans reflecting local requirements and conditions.
- (b) PLANNING FOR INDIVIDUAL SETTLEMENTS MUST BE CONCERNED PRIMARILY WITH THE LOCATION OF ACTIVITIES AND ITS IMPLICATIONS FOR THE USE OF SPACE AND OVER TIME.
- (c) This means in particular:
 - (i) The designation of general land-use patterns;
 - (ii) The location of main activities with particular attention to their relationships;
 - (iii) The provision of infrastructure networks and systems required to link activities on the basis of economy, safety and convenience;
 - (iv) The definition of basic standards reflecting the needs of the majority of the population and aimed at the elimination of waste and greater equity of distribution;
 - (v) The adoption of sequences of operations aimed at maximum utility.

Recommendation B.8

Improving existing cities

- (a) Experience shows that the renewal or rehabilitation of existing human settlements often leads to the displacement of low income populations from their chief sources of income and can actually result in the destruction of the economic and cultural fabric of entire neighbourhoods.
- (b) URBAN RENEWAL AND REHABILITATION OF EXISTING HUMAN SETTLEMENTS MUST RESPECT THE RIGHTS AND ASPIRATIONS OF THE LEAST ADVANTAGED AND PRESERVE THE CULTURAL AND SOCIAL VALUES EMBODIED IN THE EXISTING FABRIC.
- (c) Special attention should be paid to:
 - (i) Upgrading and preserving the existing stock through the development and application of low cost techniques and the direct involvement of the present residents,
 - (ii) Undertaking major clearance operations only when conservation and rehabilitation measures are not feasible;
 - (iii) Providing for the welfare of the affected population especially with respect to employment;
 - (iv) Preserving the area's social and cultural fabric which may be the only de facto source of social services (care of children and the aged, maternity care, apprenticeship, employment information and security and so on).

Recommendation B.9

Urban expansion

- (a) While urban expansion is often necessary, urban sprawl is costly, wasteful and ecologically destructive. Adequate planning can control sprawl and leap-frogging while protecting agriculture and the environment.
- (b) PLANNING FOR URBAN EXPANSION SHOULD BE FULLY INTEGRATED IN REGIONAL AND METROPOLITAN PLANNING.
- (c) It calls for:
 - (i) Long-range considerations of adequate supplies of food, water, energy, etc.
 - (ii) Prior securing of the necessary instruments and resources, i.e. legislation and regulations as well as land and infrastructure.
 - (iii) Consultation with the residents of the affected area on matters such as extension of boundaries or taxation levels;
 - (iv) Active participation of representatives of potentially conflicting interests such as agriculture, industry and preservation of the natural environment.

Recommendation B.10

New settlements

- (a) Where adequate resources are available, new settlements offer an opportunity for change and progress. This opportunity will be lost if new settlements are planned unimaginatively, in isolation from the total settlement network and with no provision for their growth and evolution.
- (b) PLANNING FOR NEW SETTLEMENTS MUST BE INTEGRATED IN THE GENERAL PLANNING PROCESS AND ORIENTED TOWARDS THE FUTURE.
- (c) Special attention should be paid to:
 - (i) Relating new settlement programmes to the renewal or expansion of existing settlements.
 - (ii) Fully integrating the new settlements with regional and national plans;
 - (iii) Flexible phasing of programmes over time to accommodate important changes in the rate of growth, age structure and social composition of the population;
 - (iv) Making use of unique opportunities to experiment with new designs, technologies, management methods and social patterns;
 - (v) Avoiding social segregation and isolation.

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Recommendation B.11

Reconstruction after disaster

- (a) Too many settlements are destroyed or badly damaged as a consequence of natural or man-made disasters. Some natural disasters can be predicted, at least in part, and precautionary measures taken to save lives and reduce material loss. But until methods of forestalling natural disasters are improved, and until war is eliminated, Governments are faced with the problems of reconstruction and rehabilitation of severely damaged areas.
- (b) THE PLANNING OF RECONSTRUCTION AFTER NATURAL OR MAN-MADE DISASTERS SHOULD BE USED AS AN OPPORTUNITY TO IMPROVE THE QUALITY OF THE WHOLE SETTLEMENT AND NOT ONLY THE PART AFFECTED.
- (c) In particular by:
 - (i) Establishing a unified agency vested with adequate authority and skills to undertake the planning of the whole settlement or area;
 - (ii) Co-ordinating the use of all local, national and international resources available for reconstruction;
 - (iii) Providing for the basic needs of the affected population in a satisfactory manner;
 - (iv) Learning from the lessons of similar experiences for planning before, during and after disasters.

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Recommendation B.12

Village planning

- (a) Just as all human settlement planning must be an integral part of national development planning, so planning for individual rural settlements must be part and parcel of planning for general rural development in a nation or region.
- (b) PLANNING FOR INDIVIDUAL RURAL SETTLEMENTS SHOULD CONCENTRATE ON THE LOCATION OF KEY FACILITIES AND SERVICES.
- (c) Particular attention should be paid to:
 - (i) The appropriate location of market places, community centres, water supply points, health and education facilities, transport stops, loading and unloading terminals and so on:
 - (ii) The respect for traditional customs and traditions;
 - (iii) The response to the new needs and requirements of a rapidly changing society.

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Recommendation B.13

Temporary settlements

- (a) Temporary settlements, such as those for limited resource exploitation, construction camps, and those resulting from emergencies are sometimes inevitable. However, such settlements often have a tendency to survive long after their original purpose.
- (b) PLANNING FOR TEMPORARY SETTLEMENTS SHOULD ALLOW FOR THEIR ULTIMATE INTEGRATION INTO THE PERMANENT NETWORK OF SETTLEMENTS.
- (c) This may be achieved by:
 - (i) Phased integration into existing networks of settlements;
 - (ii) Formation of new viable settlements with a sound economic base;
 - (iii) Allowance for growth and change in functions of buildings and related services.

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Recommendation B.14

Neighbourhood planning

- (a) In view of their limited mobility, the special interests of mothers and children, the elderly and the handicapped come into focus at the neighbourhood level. It is at this level also that community participation can be most effective.
- (b) PLANNING AT NEIGHBOURHOOD LEVEL SHOULD GIVE SPECIAL ATTENTION TO THE PROVISION OF THE FACILITIES REQUIRED FOR THE DAILY LIFE OF THE INHABITANTS.
- (c) Particular emphasis should be placed on:
 - (i) The needs of women as well as those of the children, the elderly and the handicapped;
 - (ii) Community involvement in the planning, implementation and management of neighbourhood schemes;
 - (iii) Greater integration of community facilities and services within walking distance of dwellings.

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Recommendation B.15

Planning process

- (a) Human settlement planning, if conceived in static and prescriptive terms, can become an obstacle to a balanced development geared to meet changing realities and rising aspirations.
- (b) PLANNING AT ALL SCALES MUST BE A CONTINUOUS PROCESS REQUIRING MONITORING, EVALUATION AND REVIEW AS WELL AS FEEDBACK FROM THE PEOPLE AFFECTED.
- (c) It is essential that:
 - (i) Such a review be built into the planning process and not treated as an isolated exercise;
 - (ii) The flow of information be directed both ways and aimed at all levels of government and sectors of society, not just at officials and professionals.

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C. Shelter, infrastructure and services

14. The fabric of human settlements consists of physical elements and services to which these elements provide the material support.

15. The physical components comprise shelter, i.e., the superstructures of different shape, size, type and materials erected by mankind for security, privacy and protection from the elements; and infrastructure, i.e. the complex networks designed to deliver to or remove from the shelter people, goods, energy or information. Services cover those required by a community for the fulfilment of its functions as a social body, such as education, health, culture, welfare and recreation.

16. Shelter, connected to infrastructure and provided with services, makes up individual settlements at different scales: the village, the town, the metropolis. Another kind of infrastructure establishes connexions between settlements, to form networks at the regional, national and international levels.

17. The quality of life is obviously determined by the availability and quality of these components. The overriding objectives of settlement policies should be to make shelter, infrastructure and services available to those who need them, in the sequence in which they are needed and at a monetary or social cost they can afford. Social justice depends on the way in which these facilities are distributed among the population and the extent to which they are made accessible.

18. The needs for shelter, infrastructure and services are nearly always greater than the capacity of public authorities to provide them. That is why, throughout the world but especially in the developing countries, people have traditionally provided housing and rudimentary services for themselves and will continue to do so in the future. The establishment of standards and the allocation of resources should reflect this basic fact.

19. In providing shelter, infrastructure and services to meet the needs of the population, the issue of location is extremely important. Time is a resource whose use must be planned as well as that of space to which it is related. If the improvement of the quality of life in human settlements is to become a reality, housing must be close to employment, schools and clinics must be placed near the dwelling, food production must be associated with food consumption, and so on.

20. The provision of shelter, infrastructure and services also raises technological issues in terms of choices between alternative combinations of inputs to obtain a required output. Many vital decisions in this area are taken early in the process, i.e. at the design stage, although their implications are far-reaching in terms of future use, employment generation, income distribution, import dependence or cultural impact. Other decisions concern the construction process itself, which, in a majority of countries, accounts for two thirds of total fixed capital formation and employs up to one worker out of five.

21. But the production of the asset, be it a house, class-room or mile of road, is only the beginning of a long process during which the asset, if it is to retain its usefulness, must be maintained, repaired, adapted, renovated and eventually demolished. Choices concerning standards, materials and technology should consider resource requirements over the whole expected life of the asset and not merely the monetary cost of its initial production.

22. In the fields of education, health, nutrition and other social services, the accent should be on relevance and justice, the latter being inseparable from the former. Especially in the third world, institutionalized services tend to place excessive emphasis on quantitative measurements of delivery and material supports, and not enough on the quality of the service itself and the equality of access by those most in need of it.

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Recommendation C.1

Comprehensive approach to
shelter, infrastructure
and services

- (a) Shelter, infrastructure and services are the three principal components of human settlements. They are physically, economically, environmentally, socially and culturally interrelated. Though it may not always be possible or necessary to supply them simultaneously, they will be more costly and less appropriate if planned in isolation from one another.
- (b) SHELTER, INFRASTRUCTURE AND SERVICES SHOULD BE PLANNED IN AN INTEGRATED WAY AND PROVIDED IN THE SEQUENCE APPROPRIATE TO CIRCUMSTANCES.
- (c) This objective can be achieved by:
 - (i) Prior announced decisions, advance planning and sufficient lead time to provide the framework for actual development and provision of shelter, infrastructure and services in proper sequence;
 - (ii) Phasing development over several stages and regulating the flow of financial resources in accordance with the sequence of operations envisaged in each phase;
 - (iii) Encouraging the formation of consortia and co-operative arrangements among the main development agents, both public and private, for better scheduling and co-ordination of operations;
 - (iv) Development of new budgetary techniques reflecting continuity of programmes over time and present financial data in spatial terms.

Recommendation C.2

Shelter, infrastructure
and services as tools
of development

- (a) Shelter, infrastructure and services are not only essential for meeting basic human needs but also tools for improving living conditions, achieving social justice, shaping the pattern and character of settlements and creating employment opportunities.
- (b) IN MEETING ESSENTIAL HUMAN NEEDS THE PROVISION OF SHELTER, INFRASTRUCTURE AND SERVICES MUST BE GEARED TO ACHIEVING THE OVER-ALL OBJECTIVES OF NATIONAL DEVELOPMENT.
- (c) Special emphasis should be placed on:
 - (i) Employment generation by using labour intensive construction in areas with abundant manpower;
 - (ii) Redistribution of income to achieve equity and social justice;
 - (iii) Opening of new frontier areas and exploitation of untapped natural resources;
 - (iv) Massive mobilization of national resources and manpower for deployment in programmes and projects, e.g. in rural public works.

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Recommendation C.3

Standards for shelter,
infrastructure and
services

- (a) The seriousness and realism of a nation's commitment to its social objectives are reflected in the standards it sets for shelter, infrastructure and services.
- (b) STANDARDS FOR SHELTER, INFRASTRUCTURE AND SERVICES SHOULD BE NATIONAL, EVOLUTIONARY AND REALISTIC.
- (c) In particular they should:
 - (i) Be based on the assessment of real needs rather than the adaptation of imported requirements;
 - (ii) Be tested in real life conditions and reflected in public sector programmes which have powerful demonstration effects;
 - (iii) Be evolutionary to accommodate changing needs of society, progress in technology and shifting patterns in the availability of resources;
 - (iv) Give prominence to the human dimension through active public participation in their elaboration and application.

Recommendation C.4

Designs and technologies for
shelter, infrastructure
and services

- (a) There is a wide range of choices in the search for an adequate response to expressed needs in terms of shelter, infrastructure and services. Some of these decisions concern the form, composition and location of the components of human settlements, others relate more specifically to the combinations of inputs required to obtain a given output; but all have a determinant effect on the quality of life in human settlements.
- (b) THE CHOICE OF DESIGNS AND TECHNOLOGIES FOR SHELTER, INFRASTRUCTURE AND SERVICES SHOULD REFLECT PRESENT AND FUTURE CONDITIONS AND MAKE THE BEST USE OF LOCAL RESOURCES.
- (c) The solutions arising from such choices should therefore be:
 - (i) Evolutionary and innovative in character in order to keep pace with national development and the discovery of new techniques and materials;
 - (ii) Based on the best possible use of available local resources, especially unskilled labour in countries with abundant manpower;
 - (iii) Simple to understand, adapt and apply;
 - (iv) Conceived to exploit traditional techniques suitably adapted to new materials;
 - (v) Emerging from original indigenous research;
 - (vi) Respectful of ecological balance.

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Recommendation C.5

Energy

- (a) Human settlements are consuming more and more energy just when mankind has become aware of the need to cease environmentally degrading and wasteful use of non-renewable energy resources.
- (b) THE EFFICIENT USE OF ENERGY SHOULD BE GIVEN SPECIAL CONSIDERATION IN THE CHOICE OF DESIGNS AND TECHNOLOGIES FOR HUMAN SETTLEMENTS.
- (c) This may be achieved by:
 - (i) Reducing energy consumption by changes in land-use planning, building design, living patterns and preferred transportation modes;
 - (ii) Promoting more efficient use of energy resources, for example through financial and other incentives for energy conservation and disincentives for wasteful consumption;
 - (iii) Adapting techniques for the production of building materials and for building construction to lower energy requirements, taking into account initial and maintenance costs as well as environmental and social considerations.

Recommendation C.6

Long-term cost of shelter,
infrastructure and
services

- (a) The expense of design, manufacture and installation of shelter, infrastructure and services are only partial measures of the true cost of assets which are usually long-lasting.
- (b) ALTERNATIVES FOR SHELTER, INFRASTRUCTURE AND SERVICES SHOULD BE CHOSEN ON THE BASIS OF THEIR TOTAL COST, INCLUDING THAT OF FUTURE MAINTENANCE AND OPERATIONS.
- (c) This requires:
 - (i) A revision of current budgeting methods which separate capital from operating costs;
 - (ii) Changes in public lending and subsidy policies to reflect total cost and provide incentives to minimize it;
 - (iii) A review of cost accounting methods to calculate total cost;
 - (iv) The exchange of experience and the systematic collection of information on maintenance and operating costs of alternative designs placed in different climatic and social contexts.

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Recommendation C.7

National construction
industry

- (a) The development of an indigenous construction industry is still an untapped resource in many nations where genuinely local firms, small or large, are often in need of assistance.
- (b) THE NATIONAL CONSTRUCTION INDUSTRY SHOULD BE GIVEN THE POLITICAL, FINANCIAL AND TECHNICAL SUPPORT IT REQUIRES TO ATTAIN THE PRODUCTION TARGETS ASSIGNED TO HUMAN SETTLEMENTS.
- (c) Special attention should be given to:
 - (i) Removing obstacles in the development of the local construction industry, in particular those created directly or indirectly by local or international financial institutions;
 - (ii) Establishing performance standards suited to local requirements and capable of being met by local industry;
 - (iii) Simplifying formal procedures so that they can be clearly understood and followed by local entrepreneurs;
 - (iv) Expanding the training of local entrepreneurs, especially in the field of contract management and procedures;
 - (v) Providing finance, guarantees and, if necessary, selective subsidies to local industry in its early stages of development.

Recommendation C.8

Informal construction

- (a) The scale and nature of requirements for shelter, infrastructure and services in many countries is such that even with government help the modern construction sector is inadequate for the task. The so-called "informal sector" has proved its ability to meet the needs of the poor in many parts of the world, despite the lack of public recognition and assistance.
- (b) THE INFORMAL SECTOR MUST BE SUPPORTED IN ITS EFFORTS TO PROVIDE SHELTER, INFRASTRUCTURE AND SERVICES FOR THE POOR MAJORITY.
- (c) Priority areas for action include:
 - (i) Removing legal barriers to security of land tenure for unauthorized settlements and development of the informal economy;
 - (ii) Providing sites and services specifically for construction by the informal sector;
 - (iii) Providing technical and financial assistance to low-income households to increase popular participation, self-help and other means of self reliance;
 - (iv) Overhauling government administrative structures and procedures to facilitate and guide the action of the people in improving their own settlements;
 - (v) Restructuring the system for marketing and distribution of building materials and tools to favour purchase in small quantities at irregular intervals and under easy credit terms;
 - (vi) Providing loans and technical assistance to small businesses;
 - (vii) Simplifying and adapting building and licensing codes.

Recommendation C.9

National housing
policies

- (a) In many parts of the world the cheapest available conventional housing is too expensive for the majority of households; on the other hand, publicly provided housing is limited by available resources to only a small fraction of the real need.
- (b) NATIONAL HOUSING POLICIES MUST AIM AT BRIDGING THE GAP BETWEEN THE NEEDS OF HOUSEHOLDS AND THE PAYMENTS THEY CAN AFFORD.
- (c) Measures to be considered include:
 - (i) Serviced land supplied free or on a subsidized basis,
 - (ii) Low interest loans, loan guarantees and subsidies for housing construction and improvement of the existing housing stock;
 - (iii) Increased public role in renting, leasing and home improvement schemes;
 - (iv) Rent subsidies based on family needs and incomes;
 - (v) Improved availability of housing alternatives, e.g. low cost rentals near job opportunities, for newly arrived migrants, core housing, communal housing, mobile homes and so on;
 - (vi) Government assistance concentrated on provision of resources and facilities which households cannot provide for themselves.

Recommendation C.10

Aided self-help

- (a) The majority of dwellings being built in the third world today are being provided by the occupants for themselves, either alone or with assistance from small contractors and/or neighbours.
- (b) SPECIAL POLICIES, PROGRAMMES AND INSTRUMENTS SHOULD BE CREATED ACTIVELY TO ASSIST PEOPLE IN CONTINUING TO PROVIDE HOUSING FOR THEMSELVES.
- (c) Some important measures include:
 - (i) Removal of legal barriers to security of tenure;
 - (ii) Simplification of procedures for acquisition of sites, building permits and loans,
 - (iii) Provision of infrastructure, free or on a subsidized basis, in conjunction with shelter being provided by the people for themselves,
 - (iv) Incentive to the imaginative use of local materials, e.g. through demonstration projects and construction of prototypes suitable to local conditions.

Recommendation C.11

Infrastructure
policy

- (a) The unequal distribution of wealth within human settlements and between urban and rural settlements is exacerbated by the inequalities in access to goods, services and information.
- (b) THE KEY ISSUE IN INFRASTRUCTURE POLICY MUST BE TO ACHIEVE GREATER EQUITY OF ACCESS TO GOODS, SERVICES AND INFORMATION.
- (c) This implies:
 - (i) Enforcement of minimum standards of infrastructure for all segments of the population,
 - (ii) Elimination of excessive consumption by the few through enforcement of maximum standards;
 - (iii) Active use of pricing policies as a mechanism for improving equity in access to infrastructure for all segments of the population;
 - (iv) Integration of infrastructure networks with over-all human settlement development to facilitate access, in particular by linking the provision of infrastructure to that of shelter and related services.

Recommendation C.12

- Water supply
- (a) In the less developed countries, nearly two thirds of the population, the majority in rural areas, do not have reasonable access to water supply.
 - (b) WATER SUPPLY SHOULD RECEIVE PRIORITY WITH A VIEW TO ACHIEVING, BY A CERTAIN DATE, MEASURABLE QUALITATIVE AND QUANTITATIVE TARGETS.
 - (c) In most countries urgent action is necessary to:
 - (i) Adopt realistic quality and quantity standards for water for urban and rural areas;
 - (ii) Mobilize popular participation for building the necessary infrastructure as well as for its operation and maintenance;
 - (iii) Plan water supply in the framework of national resource planning;
 - (iv) Reduce over-consumption and waste.

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Recommendation C.13

Transportation and
communications

- (a) Consideration should be given to radical reversal of current trends, both in terms of facilities for and modes of transport in order to prevent further deterioration of the situation where large cities are congested with private vehicles catering to a minority, while adequate public transport is unavailable to urban and rural residents.
- (b) POLICIES ON TRANSPORTATION AND COMMUNICATION MUST BE GEARED TO ACHIEVING A MORE RATIONAL AND EQUITABLE SPATIAL DISTRIBUTION OF ACTIVITIES TO SATISFY THE NEEDS OF THE POPULATION.
- (c) This could be achieved through:
 - (i) A comprehensive approach to the planning and development of transport networks;
 - (ii) A more deliberate use of land-use planning and policies for the location of traffic generating activities, in order to reduce the need for travel,
 - (iii) The active development of a system of public transport in preference to individual use of motor vehicles,
 - (iv) The provision of public subsidies for modes of transport suitable for serving isolated settlements,
 - (v) The consideration of innovative modes of transport and communications suited to meet the needs of the poor.

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Recommendation C.14

Waste disposal

- (a) The growing amount of solid waste material is one of the by-products of urbanization, industrialization and the consumer society; the environmental hazards it creates, together with the need to economize resources, has rendered obsolete the profligate waste-generating life style of certain industrialized countries.
- (b) WASTE-GENERATING PROCESSES SHOULD BE LIMITED OR ELIMINATED; SOLID WASTE WHICH CANNOT BE AVOIDED SHOULD BE TURNED INTO A RESOURCE.
- (c) This may be achieved through:
 - (i) Better use of existing technology and development of new technology to reduce and dispose of waste material,
 - (ii) Innovative use of unavoidable waste as a by-product;
 - (iii) Adoption of pollution control measures including incentives and disincentives for location of waste-generating enterprises,
 - (iv) Recycling of waste to produce building materials, generate energy, salvage metals and for a variety of other appropriate purposes,
 - (v) Use of waste material as fill, especially in areas with a scarcity of land suitable for human settlements.

Recommendation C.15

Social services

- (a) One third of the countries of the world have less than one physician for every 10,000 inhabitants; less than half of the adults and children needing education in the third world are actually receiving it.
- (b) THE PROVISION OF AN ACCEPTABLE LEVEL OF HEALTH, NUTRITION, EDUCATION, SECURITY AND OTHER ESSENTIAL SERVICES SHOULD RECEIVE AN EFFECTIVE PRIORITY IN NATIONAL AND DEVELOPMENT PLANNING AND IN THE ALLOCATION OF RESOURCES.
- (c) Areas for priority action include the following:
 - (i) National equalization programmes and subsidies to provide equitable geographic and social accessibility to all segments of the population;
 - (ii) Reorientation of legislative, institutional and financial measures, with the object, in particular, of bringing about the involvement of the people in meeting their own needs;
 - (iii) Decentralization of the administrative and financial machinery in order to provide a greater measure of management at the community level;
 - (iv) Delivery of social services on an integrated basis with common use of staff, equipment and premises, in particular through the development of multipurpose service centres.

Recommendation C.16

Helping the urban
pioneers

- (a) Residents of "spontaneous" or unauthorized settlements frequently organize with the intention of providing their communities with essential minimal services; however, some services are very difficult for households or neighbourhood communities to obtain without outside assistance.
- (b) NEWCOMERS, SQUATTERS AND OTHER SO-CALLED "MARGINAL" POPULATIONS SHOULD BE ASSISTED IN THE PROVISION OF SERVICES, ESPECIALLY THOSE TO WHICH THEY HAVE ALREADY CONTRIBUTED BY SPONTANEOUS INITIATIVES.
- (c) Special attention should be given to:
 - (i) Giving public recognition to positive aspects and encouraging new initiatives;
 - (ii) Provision of indirect public assistance;
 - (iii) Encouraging public participation by providing financial and other incentives,
 - (iv) Assisting in technical and administrative guidance for community services,
 - (v) Provision of special services to newcomers to facilitate their adjustment, integration and absorption,
 - (vi) Provision of adequate housing to migrant workers with access to community facilities and services.

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Recommendation C.17

Services for the
rural areas

- (a) For reasons of cost effectiveness the traditional approach to community services often favours concentration of population, but this tends to leave rural population at a great disadvantage.
- (b) NEW FORMS OF SERVICES SHOULD BE DEVELOPED TO TAKE CARE OF THE SPECIAL NEEDS OF DISPERSED RURAL POPULATIONS.
- (c) Special measures may include:
 - (i) Development and application of new communication technology, e.g. communication satellites;
 - (ii) Training of semi-professional staff drawn from the area to be serviced;
 - (iii) New approaches to education, such as mobile training units, correspondence courses, crash literacy programmes and so on,
 - (iv) Provision of grouped services on a district or regional basis;
 - (v) Complementing traditional methods and channels with audio-visual aids for information and training.

D. Land

23. Land, because of its unique nature and the crucial role it plays in human settlements, cannot be treated as an ordinary asset, controlled by individuals and subject to the pressures and inefficiencies of the market. Private land ownership is also a principal instrument of accumulation and concentration of wealth and therefore contributes to social injustice; if unchecked, it may become a major obstacle in the planning and implementation of development schemes.

24. Instead, the pattern of land use should be determined by the long term interests of the community, especially since decisions on location of activities and therefore of specific land uses have a long lasting effect on the pattern and structure of human settlements. Land is also a primary element of the national and man-made environment and a crucial link in an often delicate balance. Public control of land use is therefore indispensable to its protection as an asset and the achievement of the long-term objectives of human settlement policies and strategies.

25. To exercise such control effectively, public authorities require detailed knowledge of the current patterns of use and tenure of land; appropriate legislation defining the boundaries of individual rights and public interest; and suitable instruments for assessing the value of land and transferring parts or the totality of value added by changes in use or by public investment to the community, inter alia through taxation.

26. Above all, Governments must have the political will to evolve and implement innovative urban and rural land policies, as a cornerstone of their over-all efforts to improve the quality of life in human settlements.

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Recommendation D.1

Land resource management

- (a) Land is too valuable a resource to be misused or wasted. Public ownership or effective control of land and its distribution in the public interest is the single most important means of improving the capacity of human settlements to absorb changes and movements in population, modifying their internal structure and achieving a more equitable distribution of the benefits of development.
- (b) LAND SHOULD BE MANAGED AS A RESOURCE IN THE INTEREST OF THE COMMUNITY.
- (c) This applies in particular to land required for:
 - (i) The extension of existing settlements, the development of new ones and, in general, the achievement of a more efficient network of human settlements;
 - (ii) The implementation of programmes of urban renewal and land-assembly schemes;
 - (iii) The provision of public shelter, infrastructure and services;
 - (iv) The preservation of historic sites and monuments, the protection and enhancement of the natural environment, the preservation and creation of areas for recreation and so on.

Recommendation D.2

Control of land use changes

- (a) Agricultural land, particularly on the periphery of urban areas, is an important national resource; without public control it is a prey to speculation and urban encroachment.
- (b) CHANGE IN THE USE OF LAND, ESPECIALLY FROM AGRICULTURAL TO URBAN, SHOULD BE SUBJECT TO PUBLIC CONTROL AND REGULATION.
- (c) Such control may be exercised through:
 - (i) Direct intervention, e.g. the creation of land reserves and land banks, expropriation and pre-emption, acquisition of development rights, conditioned leasing of public and communal land, formation of public and mixed development enterprises and so on,
 - (ii) Legal controls, e.g. compulsory registration, changes in administrative boundaries, development, building and location permits, assembly and replotting and so on;
 - (iii) Fiscal controls, e.g. property taxes, tax penalties, tax incentives and so on.

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Recommendation D.3

Recapturing plus value

- (a) Profits resulting from the increase in land value due to development and change in use are one of the principal causes of the concentration of wealth in private hands. Taxation should not be seen only as a source of revenue for the community but as a powerful tool to encourage development of desirable locations, to exercise a controlling effect on the land market and to redistribute to the public at large the benefits of the unearned increase in land values.
- (b) THE PLUS VALUE RESULTING FROM CHANGE IN USE OF LAND OR FROM PUBLIC INVESTMENT MUST BE RECAPTURED BY THE COMMUNITY.
- (c) Specific ways and means include:
 - (i) Levying of an appropriate capital gains tax;
 - (ii) Assessing land for tax purposes at its true market value based on its potential use;
 - (iii) Instituting development permit fees and specifying the time-limit within which construction must start;
 - (iv) Adopting pricing and compensation policies relating to value of land prevailing at a specified time, rather than its value at the time of acquisition by public authorities.

Recommendation D.4

Public ownership

- (a) Public ownership of land cannot be an end in itself; it is justified in so far as it is exercised in favour of the common good rather than to protect the interests of the already privileged.
- (b) PUBLIC OWNERSHIP, TRANSITIONAL OR PERMANENT, SHOULD BE USED TO IMPLEMENT URBAN LAND REFORM AND SUPPLY SERVICED LAND TO THOSE IN NEED OF IT.
- (c) Special consideration should be given to:
 - (i) Measures outlined in recommendations D.2 and D.3 above;
 - (ii) Active public participation in land development;
 - (iii) Rational distribution of powers among various levels of government and an adequate system of financial support for land policy especially in connexion with public ownership of land.

Recommendation D.5

New patterns of ownership

- (a) Many countries are undergoing a process of profound social transformation; a review and restructuring of the entire system of ownership rights may be essential to the accomplishment of new national objectives.
- (b) PAST PATTERNS OF OWNERSHIP RIGHTS SHOULD BE TRANSFORMED TO MATCH THE CHANGING NEEDS OF SOCIETY.
- (c) Special attention should be paid to:
 - (i) Land reform measures to bring ownership rights into conformity with the present and future needs of society;
 - (ii) Redefinition of legal ownership and usage rights for a variety of purposes;
 - (iii) Clear definition of public objectives and private ownership rights and duties which may vary with time and place;
 - (iv) Transitional arrangements to change ownership from traditional and customary patterns to new systems, especially in connexion with communal lands.

Recommendation D.6

Increase in usable land

- (a) In view of the limited availability of land for human settlements and the continuing loss of usable agricultural land due to erosion, urban encroachment and other causes, efforts to reclaim land for both agriculture and settlements are imperative.
- (b) THE SUPPLY OF USABLE LAND SHOULD BE INCREASED BY LONG TERM PROGRAMMES OF LAND RECLAMATION AND PRESERVATION.
- (c) Special attention should be paid to:
 - (i) Land-fill, especially by using solid wastes in close proximity to urban areas;
 - (ii) Control of soil erosion, e.g. through reforestation, flood control and drainage schemes, shifting cultivation, controlled grazing;
 - (iii) Control and reversal of desertification;
 - (iv) Reclamation of water logged areas;
 - (v) Application of new technologies such as those related to climate control, soil stabilization and innovative irrigation;
 - (vi) Prevention of land pollution as well as restoration of derelict or damaged land and preservation of the natural environment.

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Recommendation D.7

Information needs

- (a) Effective land use planning and control measures cannot be implemented without adequate information.
- (b) COMPREHENSIVE INFORMATION ON LAND CHARACTERISTICS, TENURE, USE AND LEGISLATION SHOULD BE COLLECTED AND CONSTANTLY UPDATED.
- (c) This implies:
 - (i) Regular cadastral surveys and assessment of land capabilities;
 - (ii) Simplification and updating of procedures for collection, analysis and distribution of relevant information in an accurate and comprehensive manner;
 - (iii) Introduction of new surveying and mapping technologies suitable to the conditions of the third world;
 - (iv) Consolidation and effective use of existing legislation and instruments to implement land policies.

E. Public participation

27. Participation is an integral part of the political processes of decision making; in a field as complex as human settlements, it is also a necessity because the task is too great for Governments to accomplish without mobilizing the interest of inhabitants, using their ingenuity and skills and harnessing otherwise untapped resources.

28. Participation can be conceived, from the top downwards, as the involvement of the higher echelons of government in the decision making of smaller groups; laterally, as the co-operation between parallel or competing sectoral interests; or, from the base upwards, as the direct involvement of residents in the making of decisions which concern them. The first two forms of participation are the basis of strategies, planning procedures, implementation of programmes and, in general, management of human settlements; the last, under the label of popular participation, is becoming an indispensable element of a truly democratic process.

29. Popular participation, by definition, cannot be planned or ordered from above: it can only be encouraged, in particular by removing political or institutional obstacles standing in its way. The lack of information, expressed in clear and meaningful terms, and the absence of appropriate machinery for conveying alternative views stand out as the main stumbling blocks for a more effective involvement of inhabitants of human settlements in shaping their future.

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Recommendation E.1

Role of public participation

- (a) The improvement of the quality of life in human settlements implies the making of critical choices in the allocation of scarce resources, the mobilization of all conventional available resources and the harnessing of new ones; this process cannot be effective without the active involvement of the people affected by such decisions.
- (b) PUBLIC PARTICIPATION SHOULD BE GIVEN PROMINENCE IN HUMAN SETTLEMENT STRATEGIES, PLANS AND PROGRAMMES.
- (c) Particular attention should be paid to:
 - (i) The definition of the role of public participation as a means of mobilizing untapped human resources;
 - (ii) The involvement of people at all levels in resolving conflicts, e.g. worker participation in management of industry and commerce, tenant participation in management of housing, community participation in management of schools and clinics, user representation in management of transport and other services and so on;
 - (iii) The public advance disclosure of strategies, plans and programmes for public discussion.

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Recommendation E.2

Two-way flow

- (a) Public participation does not mean simply the mobilization of people to implement the independent decisions of Governments and professionals. participation requires listening and response in both directions, since human settlement planning is for the people and not an end in itself.
- (b) PUBLIC PARTICIPATION MUST BE BASED ON UNDERSTANDING, EDUCATION AND MUTUAL TRUST BETWEEN THE PARTIES CONCERNED.
- (c) This may be achieved through:
 - (i) Legislation regulating the provision of public information in a scheduled and specified manner;
 - (ii) Introduction of human settlement issues and allied subjects in educational curricula;
 - (iii) Legal aid societies to inform the citizen of his legal rights and duties in relation to human settlement issues as well as to provide legal assistance;
 - (iv) Appeal and arbitration bodies to reconcile public interest and individual rights within a specified range of activities;
 - (v) Wide use of mass media (radio, television and audio-visual material) to inform the public and encourage public debate;
 - (vi) Submission of all major planning decisions to appropriate processes of public inquiry, with particular emphasis on the rights of the least privileged sectors of the population.

Recommendation 11.3

Wide involvement

- (a) Public participation as a right must be accorded to all segments of the population, organized or not.
- (b) PUBLIC PARTICIPATION SHOULD INVOLVE THE WIDEST POSSIBLE RANGE OF CITIZENS.
- (c) Particular attention should be paid to:
 - (i) Expanding and strengthening the role of community organizations, voluntary groups and professional bodies in human settlements;
 - (ii) Forming non-governmental organizations specifically devoted to human settlement issues;
 - (iii) Encouraging existing non-governmental organizations to focus their programmes on crucial human settlement issues;
 - (iv) Securing the active involvement of groups whose participation is normally limited, e.g. children, the elderly, the sick and the handicapped.

Recommendation E.4

New forms of participation

- (a) Of all human endeavours, public participation is the one which can least afford to be isolated from current trends and changes in society, in so far as these affect the relationships between the governing and the governed, the professional and the laymen, the strong and the weak.
- (b) NEW FORMS OF PUBLIC PARTICIPATION MUST RESPOND TO NEWLY EMERGING NEEDS OF SOCIETY.
- (c) Areas for special attention include:
 - (i) Establishment of effective channels of communication between the average citizen and the bureaucracy of rapidly expanding urban agglomerations;
 - (ii) Encouragement of the formation of farmers' and landless labourers' organizations, in the rural areas;
 - (iii) Recognition of the changing role of women in society and encouragement of their full participation in development;
 - (iv) Public accountability required of large corporations;
 - (v) Public interest research and public interest law.

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Recommendation E.5

Mobilizing resources

- (a) Public participation is a human right, a political duty and a powerful instrument for nation building, especially under conditions of resource scarcity; without it people cannot identify with the decisions whose consequences affect their daily lives.
- (b) PUBLIC PARTICIPATION SHOULD BE MOBILIZED ON A SCALE COMMENSURATE WITH THE PROBLEMS OF HUMAN SETTLEMENTS.
- (c) Efforts should be directed in particular to:
 - (i) Defining what the people can decide and do better for themselves and determining the area of government action accordingly;
 - (ii) Decentralizing planning institutions and especially management operations to the maximum possible extent;
 - (iii) Making large-scale public participation a continuing feature of the political process with respect to issues concerning human settlements.

F. Institutions and management

30. Policies, strategies, plans and programmes cannot be elaborated or implemented without appropriate instruments. In the field of human settlements, these take the form of political, administrative or technical institutions; enabling legislation and regulatory instruments; and formal procedures for the harnessing of resources, in particular human capacities.

31. New institutions on human settlements must be designed to play a variety of roles in development: important among these is that of promoting new concepts and providing leadership in unfamiliar areas. Institutions must also be responsive to change, capable of changing themselves and suitable for promoting change by others.

32. Because of their territorial coverage, complexity and relative permanence, human settlements require a very diversified system of institutions. Some operations are better managed on a very small scale, to benefit from the full participation and involvement of residents; others draw unquestionable benefits from the economy and efficiency of scale. Especially in large and complex metropolitan areas, the search for more appropriate institutions must be a continuous one, with a view to achieving a satisfactory balance between effective government and accountability to the governed.

33. Institutions are ineffectual unless they are given access to and control over the resources necessary for operation. The increasing gap between the mandate of many human settlement institutions and the resources effectively placed at their disposal is one of the principal causes for the widespread crisis in urban management, in industrialized and developing countries alike.

34. This is particularly true of institutions catering to the capital and recurrent budget needs of human settlements which have very special requirements such as long-term investment and low yield, and which, if inappropriately or insufficiently funded, become the main obstacle to implementing otherwise well intended policies.

35. The implementation of new programmes may require new enabling legislation; but legislative changes are a laborious process, which follows the expressed needs of society, often only with long delay. The same applies to regulations and by-laws - for instance in planning, building and safety - many of which are outdated or altogether irrelevant to the basic present-day needs of the population.

36. Similarly, the curricula preparing for and the codes governing the practice of the professions directly concerned with human settlements are in need of fundamental overhaul throughout the world, but especially in the third world where their shortcomings are aggravated by the fact that they imitate the practices prevailing in the industrialized countries, instead of reflecting the realities and expressed needs of their own societies.

37. In the last resort, the most valuable resource of all is human beings; the channelling of human initiative and the management of human skills for the achievement of the goals of national planning is a task which has received insufficient attention so far, both at national and local levels.

Recommendation F.1

Integration of physical
and economic planning

- (a) Economic development planning, even when covering the principal sectors of the economy, frequently neglects the spatial dimension implicit in human settlement issues. This is partly due to conceptual difficulties and partly to the inertia of existing institutions.
- (b) INSTITUTIONS RESPONSIBLE FOR ECONOMIC DEVELOPMENT AND PLANNING SHOULD BE COMPLEMENTED BY INSTITUTIONS RESPONSIBLE FOR HUMAN SETTLEMENT PLANNING WITHIN A SINGLE OPERATIONAL FRAMEWORK.
- (c) This may be achieved by:
 - (i) Establishing appropriate co-ordinating machinery between central government departments.
 - (ii) Ensuring adequate representation of human settlement interests on the principal policy making bodies, so as to ensure a truly interdisciplinary approach.
 - (iii) Introducing refresher and orientation courses and in-service training for officials whose decisions have a bearing on human settlements.
 - (iv) Evolving suitable procedures to reflect such a co-ordinated approach at regional and local levels.

Recommendation F.2

Hierarchy and level

- (a) The formulation of effective human settlement policies and strategies requires consultation, negotiation and decision at the highest level; their implementation requires nationwide focus and authority.
- (b) POLICIES AND STRATEGIES ON URBAN AND REGIONAL DEVELOPMENT SHOULD BE THE RESPONSIBILITY OF A NATIONAL INSTITUTION AT MINISTERIAL LEVEL.
- (c) Among the principal features of such an institution, the following deserve particular attention:
 - (i) It should have a distinct identity reflecting the priorities assigned to human settlements in national development plans;
 - (ii) It should provide leadership to other institutions and to the public at large;
 - (iii) It should obtain an adequate share of budgetary and other resources to perform its mandate effectively;
 - (iv) Its structure should accommodate representation or advice from regional and local levels of government.

Recommendation F.3

Incentive to participation

- (a) Institutions which seek to mobilize human resources by enlisting the free co-operation and participation of the people affected by their programmes and projects will succeed only if they create mechanisms for enabling those people to share in the decision-making process.
- (b) INSTITUTIONS SHOULD BE DESIGNED TO ENCOURAGE AND FACILITATE PUBLIC PARTICIPATION AT ALL LEVELS.
- (c) This may be achieved by:
 - (i) Decentralizing administration and management while retaining consistency in policy and planning and ensuring the efficient use of available professional manpower;
 - (ii) Providing for a built-in machinery for consultation between various types of institutions at different levels;
 - (iii) Requiring public accountability of institutions;
 - (iv) Facilitating a dialogue between elected officials, administrative bodies and professionals.

Recommendation F.4

Framework for institutional
change

- (a) Many institutions dealing with human settlements have outlived their original purpose: functions and territorial boundaries have changed, fiscal arrangements are often outmoded, jurisdictions fragmented and institutional structures excessively cumbersome.
- (b) INSTITUTIONS DEALING WITH HUMAN SETTLEMENTS SHOULD ADAPT TO CHANGING CIRCUMSTANCES.
- (c) In particular:
 - (i) Institutions dealing with basic infrastructure and public services should be overhauled whenever it can be shown that they fail to fulfil their original function;
 - (ii) Institutions should be assigned a territorial coverage commensurate with the nature of the service to be provided, the technology used in that service and the changing nature of relationships and flows between different parts of the national territory;
 - (iii) Institutions should receive an appropriate resource base reflecting the nature of the service provided and the wider implications of the provision of such service;
 - (iv) Institutions should evolve and adapt to new organizational and procedural forms, enter into co-operative and collaborative arrangements with other organizations, public and private, and explore innovative approaches.

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Recommendation F.5

The role of special
institutions

- (a) New institutions are sometimes necessary when those existing are incapable of handling special problems but the tendency of institutions to perpetuate themselves can lead over the long term to a redundant, cumbersome and self-perpetuating bureaucracy.
- (b) INSTITUTIONS SPECIALLY SET UP TO SOLVE SHORT-TERM PROBLEMS SHOULD NOT OUTLIVE THEIR ORIGINAL PURPOSE.
- (c) This may be achieved by:
 - (i) Transferring functions to permanent institutions in pre-planned stages.
 - (ii) Establishing the life span of the institutions concerned in initial organizational and budgetary instruments.
 - (iii) Appropriation of funds renewable only after careful review of functions.

Recommendation F.6

Laws and regulations

- (a) Because of their complexity, rigidity and subservience to vested interests, existing laws and regulations related to human settlement institutions often obstruct reform and hinder progress.
- (b) THE AIM OF A NEW LEGISLATIVE FRAMEWORK MUST BE TO STREAMLINE HUMAN SETTLEMENT INSTITUTIONS AND PROCEDURES IN ORDER TO ADAPT THEM TO NEW REALITIES.
- (c) Special attention should be placed on the following:
 - (i) When required, the promulgating of special national legislation for the implementation of human settlement policies;
 - (ii) Designing of laws and regulations to achieve specific human settlement objectives, serve community interest and safeguard individual rights against arbitrary decisions;
 - (iii) Ensuring that laws and regulations are simple enough to be easily understood and efficiently applied by all concerned, adapted to the needs of society, revised periodically to correspond to the changing needs of society and applied with flexibility.

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Recommendation F.7

Financing institutions

- (a) The construction and operation of human settlements have special financial requirements: they must attract investment without encouraging speculation and excessive concentration of wealth; they must foster the most productive use of savings while making capital available in small amounts under flexible conditions to low-income people in both urban and rural areas; they involve the use of funds over long periods of time and at relatively low yields, often in the midst of rapid inflation.
- (b) SEPARATE FINANCIAL INSTITUTIONS ARE NECESSARY TO MEET THE REQUIREMENTS OF HUMAN SETTLEMENTS.
- (c) Special attention should be directed to:
 - (i) Ensuring that investors, public or private, are protected from the most damaging effects of monetary inflation, in particular through appropriate forms of indexation of long-term mortgages and loans;
 - (ii) Modifying fiscal practices which tend to spread unevenly the benefits of tax relief on mortgages among households of different incomes;
 - (iii) Encouraging joint ventures of public and private capital, with adequate safeguards of the public interest;
 - (iv) Making selective use of public funds, with priority to areas where private investment is unlikely or;
 - (v) Exploiting to the full the multiplying effect of public loan and mortgage guarantees to back up private capital;
 - (vi) Removing institutional obstacles to the financing of the needs of the poor, by encouraging community schemes and other co-operative arrangements.

Recommendation F.8

Reaching the people

- (a) Programmes designed to assist less developed regions or less privileged sectors of the population often fail to achieve their intended objectives for a variety of reasons: cumbersome administrative procedures, lack of awareness of the intended beneficiaries or unrealistic requirements.
- (b) INSTITUTIONS AND PROCEDURES SHOULD BE STREAMLINED TO ENSURE THAT THE INTENDED BENEFICIARIES RECEIVE THE LARGEST POSSIBLE SHARE OF RESOURCES.
- (c) Special emphasis should be placed on:
 - (i) Eliminating as far as possible the role of intermediaries;
 - (ii) Minimizing bureaucracies and overhead costs;
 - (iii) Adopting open decision making and public accountability for use of funds;
 - (iv) Instituting greater local control in the management and administration of human settlements;
 - (v) Effective management of existing resources of human settlements.

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Recommendation F.9

Human resources

- (a) Dissemination of knowledge on and manpower training for human settlements is essential since the availability of skills and professional resources is a serious constraint on the implementation of human settlement programmes in most countries.
- (b) THE ACQUISITION AND DISSEMINATION OF KNOWLEDGE AND INFORMATION SHOULD RECEIVE HIGH PRIORITY AND BE TREATED AS AN INTEGRATED PROCESS WITHIN THE OBJECTIVES OF NATIONAL DEVELOPMENT.
- (c) Special emphasis must be placed on:
 - (i) National research and development institutions specifically geared to finding better solutions to human settlement problems, within the framework of regional and global networks;
 - (ii) Projects demonstrating the innovative use of materials, technology or manpower;
 - (iii) Training at all levels, with emphasis on managers and middle-level personnel, especially through practical on-the-job training;
 - (iv) Exchange of relevant information expressed in terms meaningful to those likely to need it.