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Annexes

INSTITUTIONAL ARRANGEMENTS FOR HUMAN SETTLEMENTS

- I. A proposal submitted by the Department of Economic and Social Affairs
- II. A proposal submitted by the United Nations Environment Programme

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I. INTRODUCTION

1. The Habitat Conference will have before it three major issues for consideration and decision:

- (a) A Declaration of Principles;
- (b) Recommendations for national action; and
- (c) Programmes for international co-operation.

2. Throughout the preparatory process, Governments have stressed the central place occupied by action at the national level, for which the Declaration of Principles should provide inspiration and guidance and in support of which international co-operation should be conceived. This approach derives from the main purpose of the Conference, as defined in General Assembly resolution 3128 (XXVIII) of 15 January 1974: "to serve as a practical means to exchange information about solutions to problems of human settlements against a broad background of environmental and other concerns which may lead to the formation of policies and actions by Governments and international organizations".

3. The proposal of the Habitat secretariat for programmes for international co-operation, as set out below, must therefore be seen in the context of the other policy papers placed before the Conference (documents A/CONF.70/4 and A/CONF.70/5).

4. Early in the preparations for the Conference, and in particular during the extensive formal consultations with Governments at the regional and global level and the informal consultations with the principal organizations concerned within the United Nations family, it became apparent that any proposal for programmes for international co-operation in the field of human settlements should comprise:

- (a) A clear definition of the objectives and functions of international co-operation;
- (b) An analytical review and, if possible, a critical evaluation of current and projected activities within the United Nations system;
- (c) An outline of the areas requiring priority attention, to reflect the expressed needs of Governments;
- (d) A set of criteria with which any proposed institutional arrangement or rearrangement should conform; and, finally,
- (e) The outline of one or more such arrangements.

5. In interpreting its mandate, the Habitat secretariat, early in 1975, commissioned a survey of international multilateral co-operation in the human settlement field from the Center for Research on International Institutions

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(Geneva) (document A/CONF.70/WG/3). The first draft of the survey was subsequently submitted for comments to a small number of independent persons with extensive experience in international affairs (document A/CONF.70/WG/4). Both papers were tabled at a meeting of an Ad Hoc Intergovernmental Working Group (Geneva, 24-25 September 1975) together with a note proposing a framework for international co-operation (document A/CONF.70/WG/2).

6. The close scrutiny of these papers, reflected in a summary of the discussions of the Working Group (document A/CONF.70/PC/20), provided the secretariat with further guidance for preparing the next stage of consultations on the occasion of the second session of the Preparatory Committee (New York, 13-23 January 1976).

7. In response to a specific request from Governments, the secretariat, in close consultation with the Office of Inter-Agency Affairs and Co-ordination, prepared a more detailed analysis of the programmes of the organizations in the United Nations system in the field of human settlements. This document is available as a background paper to the Conference (document A/CONF.70/A/4). 1/

8. At its second session the Preparatory Committee also had before it a proposal for alternative institutional arrangements, recapitulating the scope of international co-operation; outlining the activities and structure of the two organizations within the United Nations system proper directly concerned with human settlement matters; presenting a common ground of views expressed so far by Governments; and setting out the general lines for three alternative institutional arrangements (document A/CONF.70/PC/23).

9. A third paper before the Committee contained proposals for a limited number of programmes which, if Governments so desired, could be initiated almost immediately after the Conference, without awaiting an institutional re-arrangement (document A/CONF.70/PC/25).

10. The outcome of the discussions, as reflected in the report of the second session of the Preparatory Committee (document A/CONF.70/PC/28) became the mandate on the basis of which the Habitat secretariat prepared this paper, which is composed of the following:

(a) A brief summary of the current activities of the organizations in the United Nations system, based on the surveys referred to in paragraphs 5 and 7 above;

(b) A general statement of objectives, functions and resource transfers of programmes for international co-operation;

(c) A concise presentation of programmes in five broad areas of international co-operation, including a preliminary estimate of the financial implications of alternative packages;

1/ Previously circulated as document A/CONF.70/PC/24.

(d) recapitulation of criteria to be followed in any proposed institutional arrangement and the outline of a common profile conforming to such criteria; and

(e) Two proposed alternative institutional arrangements, elaborated by the Department of Economic and Social Affairs 2/ and the United Nations Environment Programme respectively in response to the formal request of Governments. 3/

11. The timing of the Habitat Conference is particularly suitable for a general discussion of institutional arrangements in the field of human settlements, coming as it does after the seventh special session of the General Assembly and the establishment of the Ad Hoc Committee on the Restructuring of the Economic and Social Sectors of the United Nations system. The momentum created by the preparatory process and the level of participation expected at the Conference provide a unique opportunity for elaborating and proposing a model of international co-operation in a crucial area of development strategy. Human settlements could become a ground for exploring and testing the kind of innovative approaches which Governments, especially those of the third world, have come to expect from increased efforts of international co-operation in the last quarter of this century.

12. In the preparation of this document the Habitat secretariat benefited greatly from contributions of and discussions with many units in the United Nations system, in particular the Office of Inter-Agency Affairs and Co-ordination, the Department of Economic and Social Affairs and the United Nations Environment Programme.

2/ See annex I.

3/ See annex II.

II. SUMMARY OF ACTIVITIES OF THE UNITED NATIONS SYSTEM IN THE FIELD OF HUMAN SETTLEMENTS

13. In analysing the extent to which the organizations of the United Nations system are involved in activities aimed at solving problems in the field of human settlements, it should be borne in mind that the programme structures of most organizations have never been focused on human settlements per se; under normal circumstances they reflect the sectoral emphases laid down in their constitutions and elaborated over many years by successive intergovernmental decisions. The only exceptions to this are the Centre for Housing, Building and Planning of the Department of Economic and Social Affairs, the United Nations Environment Programme and its United Nations Habitat and Human Settlements Foundation and to some extent, the Transportation and Urban Projects Department of the World Bank. However, many of the activities carried out under international programmes geared towards health, employment, rural development, industrialization and education are relevant and even crucial elements in the context of a human settlements programme.

14. In a report before the Conference entitled "Analysis of programmes of the organizations in the United Nations system in the field of human settlements" (A/CONF.70/A/4), a survey is made of the programmes for 1976-1977 from two main viewpoints: first, the coverage under the six main areas of activity identified by the Preparatory Committee (settlement policies and strategies; settlement planning; shelter, infrastructure and services; land; public participation; and institutions and management); and, secondly, the means of action used to carry out programmes (including information collection and dissemination, storage and retrieval systems, research, training, pilot and demonstration projects, development of norms and standards, technical assistance, and transfer of resources).

15. As regards programme coverage, it appears that most of the problem areas defined by the Preparatory Committee are to some degree covered by ongoing activities of the United Nations system. This does not necessarily mean that the programme coverage of the field is satisfactory, since the resources available in the United Nations system for such activities are obviously grossly inadequate to meet the vast needs which clearly exist, nor is there an integrated approach by the system as a whole to the problem of human settlements.

16. As to the proportion of activities spread over the six areas, it appears that the largest concentration of programmes is in the area of "shelter, infrastructure and services". Some activities in this area are based on an integrated approach encompassing all three constituent parts, for example, projects to rehabilitate slums and squatter settlements in which the World Bank, United Nations and UNICEF are involved. Other activities quite clearly emphasize one or other of the subareas. A considerable amount of work is also being carried out on "settlement policies and strategies", "settlement planning" and "institutions and management". Fewer programmes exist in the areas of "land" and "public participation"; in fact, in these two areas there seems to be sparse coverage in some of the fields identified as needing further action. In the case

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of "public participation", the lower level of activity may be due to the fact that it is chiefly utilized at the local level and is therefore more appropriate for action by national Governments than by international agencies.

17. While the activities of the United Nations and the World Bank tend to be comprehensive in scope, the work of the agencies is, almost as a matter of course, more sectorally oriented.

18. Turning to the means of action used to carry out the activities, there are many programmes involving seminars and workshops for exchange of information and for education and training and also a considerable number concerned with information collection and dissemination, research and technical assistance. There are fewer programmes in most areas for the development of norms and standards and, except in "settlement policies and strategies", there are fewer activities relating to storage and retrieval systems. For example, in "settlement planning", the United Nations, including its regional commissions, is the only organization which is involved in storage and retrieval systems. There are also not very many projects comprising transfer of resources (including financial resources, plant and equipment and food) reflecting the fact that, except for the World Bank, the United Nations Children's Fund and the World Food Programme, organizations are not generally in a position to make such transfers.

19. There is more or less systematic co-operation among the organizations of the system in individual programmes as well as between these organizations and agencies that are not connected with the United Nations system, including bilateral aid agencies, foundations and research institutes. The level of co-operation among organizations and the number of organizations involved in such co-operation varies considerably; for example, almost all UNICEF programmes, owing to their interdisciplinary character and because of the particular nature of UNICEF assistance, entail very close co-operation with more than one of the agencies and/or the United Nations. On the other hand, programmes of the World Meteorological Organization in the human settlements field, covering such technical matters as the application of climatology to urban problems, do not require co-operation with other organizations.

20. Many organizations are dealing with different facets of the same type of work in their various areas of competence in a complementary and mutually supportive fashion. For example, a number of organizations are involved in the establishment or strengthening of training institutes relating to different aspects of human settlements: the United Nations in physical planning, the United Nations Educational, Scientific and Cultural Organization in engineering, architecture and town planning, the International Labour Organisation in vocational training and the Food and Agriculture Organization of the United Nations in agrarian reform.

21. However, there is still a considerable way to go before these activities can be related to one another in a concerted effort to solve the problems within the six priority areas, and beyond that to constitute components of an integrated programme directed towards human settlements as a whole.

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22. There are many ways of adapting or realigning organizational structures so that they conform to programme structures, varying from institutional centralization to the "invisible hand" of informal co-ordination. Any consideration of major institutional changes to adapt organizational structures in the field of human settlements should take into account the special nature of human settlements with its manifold, interlocking objectives. Thus, it is necessary for organizations to continue to work towards their sectoral objectives in their areas of competence, while also concerting their activities to meet the objectives for human settlements to be defined by the Conference.

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III. OBJECTIVES AND FUNCTIONS OF PROGRAMMES FOR INTERNATIONAL CO-OPERATION

23. The rationale that underlies proposals for programmes for the solution of human settlement problems is based upon the relationship between objectives to be met and functions to be performed. In order to achieve the objectives described in general terms in the following text, it is necessary to distinguish the activities and corresponding resource transfers which are essential if the programmes are to be carried out in the optimum way.

24. Projects are the constituent parts of programmes and must be conceived, elaborated, implemented and evaluated to ensure that they are in keeping with the stated objectives. The experience gained from continuous evaluation must be fed back into the process so that better and more meaningful programmes can be devised. This in turn influences institutional structure, under whose umbrella the entire operation takes place.

25. Programmes must be viewed as dynamic processes under constant review. If they are to make a genuine contribution to over-all development, they must be designed with built-in flexibility so as to adapt to changing needs in human settlements. They must also be capable of being initiated as soon as possible after the Habitat Conference, pending the elaboration of a long-term programme of international co-operation of which they would eventually become an integral part.

A. Objectives

26. Four major objectives of any programme for international co-operation have emerged from the meeting of the Ad Hoc Intergovernmental Working Group (Geneva, 24-25 September 1975) and from the second session of the Preparatory Committee (New York, 12-23 January 1976).

27. These objectives are:

(a) Support of national efforts. The fundamental purpose of any programme of international co-operation is to supplement and support the efforts of countries, assisting them in increasing and improving their own efforts to solve human settlement problems. All countries are active in this field and the limited resources available to the international community must be used in the optimum way to enhance national action;

(b) Promotion of a unifying concept. Human settlements are vital to the development of any country and, as such, should be approached in a comprehensive and integrative way. It is essential that programmes of international co-operation foster and further this notion at all levels of decision making;

(c) Strengthening of co-operation between developing countries. The decision to increase and encourage co-operation between developing countries was initiated by the General Assembly and organs of the United Nations have already

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embarked upon plans for its implementation. The field of human settlements is a particularly suitable one for promoting such initiatives;

(d) Substantiation of the promise of Vancouver. The intensive preparatory process leading up to the Habitat Conference has generated, within countries, a consciousness of the problems posed and challenges offered by human settlements. This momentum provides the opportunity to secure a world-wide political commitment and the diversion of resources to this vital area of concern. Programmes for international co-operation must utilize both the inputs to and outputs from the Conference as a basis for action, in order to maintain the initiative created.

B. Functions

28. As mentioned earlier, any discussion concerning the functions to be performed by programmes of international co-operation must consider two key elements: activities and resource transfers. These two elements are interdependent in that the success of a programme will hinge on whether the activities being performed are relevant and well conceived and whether adequate resources have been secured for their operation. Resources are the essential support for an activity but they, in themselves, cannot attain the objectives. Whether they are transferred to a country from abroad or whether they are generated from local sources, their optimum use will depend upon the way they are employed.

29. Six types of activities requiring urgent attention have been selected for closer examination:

(a) The need to advise on policy. The Habitat Conference will bring to the attention of Governments the extreme importance of devising comprehensive human settlement policies. Many countries are not as yet in a position to direct sufficient resources to this task but programmes of international co-operation can lend important support and supplementary assistance to national efforts in this area;

(b) The need to have appropriate instruments. The establishment of new and strengthening of existing legal, fiscal and institutional arrangements, is essential to the orderly growth of human settlements. Responsibility for decisions concerning human settlements are not confined to any single level. International co-operation has a strategic role to play in assisting countries to build up these instruments at the national, subregional and local levels. The more comprehensive policies and multisectoral planning become accepted by countries as an effective way of approaching problems, the more imperative it becomes to reshape and create instruments which are truly responsive to felt needs;

(c) The need to educate and train. All countries have programmes for training personnel to deal with human settlement problems but no country can claim that its efforts cover, satisfactorily, the entire spectrum of tasks to be performed. More and better training is urgently needed and international action could prove decisive in the battle to cope with the ever increasing complexity

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and size of problems. This can be achieved by assisting in the appropriate education and training of manpower at all levels and for all the skills required;

(d) The need to research and develop. The multisectoral nature of problems encountered in human settlements require not only more and better research but a new approach. The amount and quality of research differs from country to country and depends largely on the availability of skilled research workers. International inputs can play an important role in supplementing the national endeavour;

(e) The need to disseminate information. Over too long a period of time, too much valuable experience has been lost because it has not been recorded in a communicable form. The positive experience of one country may have within it the seeds of solutions for others. It is essential that international co-operation play a major role in ensuring that human settlement information of all kinds is recorded and disseminated to those responsible for policy, planning and maintenance of urban and rural settlements;

(f) The need to design and build. The physical manifestation of a policy is as important as the policy itself. It is the physical reality of what is actually built that concerns and affects the quality of life of most people. The quality of the man-made environment is dependent both on its design and its construction and these, in turn, are products of the decisions taken early in the process, during the design stage, and of the competence of those responsible for implementing those designs. Programmes for international co-operation must be directed to assisting Governments to improve the quality of both design and construction of human settlements, so as to make best use of scarce resources. Quantity is an equally important challenge. The task of delivering infrastructure and shelter to the neediest is a monumental one and very few countries are able to meet the demand without assistance.

C. Resource transfers

30. A brief description of the type of resource transfers available to the international community is provided below. It must be emphasized that these resources are limited and their judicious use is essential if the programmes are to be implemented and the objectives met:

(a) Financial: This usually entails the transfer of money to assist countries in meeting the external currency requirements necessary for the speedy and efficient implementation of human settlement programmes. The transfer may take place through bilateral or multilateral channels and, in some cases, a combination of both; it can also be used for the injection of seed capital into financial organizations for human settlements such as housing banks, credit institutions, etc;

(b) Materials: This could take the form of tools and machinery, and, in some cases, even finished products; for some programmes it could be a combination of all these. Stress is laid on the ability of this type of transfer to create sustained employment and foster local initiatives, particularly in the building material and construction industries;

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(c) Personnel: Foreign expertise still plays a significant role in the development of human settlements; however, priority must be given to the use of such experts to train local persons so that a pool of indigenous expertise can be created. The inclusion of training in any programme has been recognized as a vital component by the international community; added to this is the importance of the thorough briefing of experts before they commence their duties in the requesting country;

(d) Ideas: The transfer of ideas takes place by various means such as printed and audio-visual material, personnel exchange, etc.; this is one of the areas in which a great deal of work remains to be done. The experience gained from the preparations for the Habitat Conference has highlighted the urgent need to record and exchange positive experience in the solution of human settlement problems. While a certain amount of this transfer of ideas is going on at the present time, more needs to be done and the methods of transfer must be efficiently organized.

31. Programmes for international co-operation concern more than one activity and involve, in most cases, a combination of resource transfers. The careful merger of activities and resources, leading to the design of programmes, will assist in the attainment of the objectives in a rational and economic manner.

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IV. PROGRAMMES

32. Programmes designed to fulfil the objectives and functions described in the preceding section could be conveniently grouped under the following headings:

- (a) Policy formulation and implementation;
- (b) Education and training;
- (c) Research and development;
- (d) Information exchange; and
- (e) Delivery mechanisms.

33. In practice many of these categories overlap; furthermore individual programmes cannot be considered in isolation from each other, but rather as a part of interrelated packages as indicated in section F below.

A. Policy formulation and institutional improvements

34. These are national-level activities which are fundamental to effective action at any level. As has been previously pointed out, very few countries have adopted a formal national settlement policy or strategy; important settlement decisions are usually made on an expedient basis, and there is no device for rationalizing resource allocations sectorally or intersectorally. Critical needs in this area appear to be:

(a) Modelling

35. Although some basic research can be carried out at the international level, most modelling would have to be directly related to the specific conditions in individual countries. The modelling should be kept to very simple and specific tasks, such as the simulation of population movement and settlement patterns, and should be adaptable as a monitoring and evaluation tool. International involvement would consist mainly of supplying experts to develop the techniques and adapt them to the capacity of the Government's planning units. The cost of developing a simple model, as a sub-model to a national planning model, would probably be in the range of \$US 50,000 to \$US 100,000, so that providing this assistance to 50 or 60 countries would involve an expenditure of about \$US 4 million. Over a period of five years, a variety of models could be proposed and tested, and more comprehensive syntheses could then be attempted, in the light of the preliminary results.

(b) Investment manuals

36. Very few countries have any rational procedures for evaluating the priorities of intersectoral investment options or, even, of different options within the human settlement sector. This is a grave deficiency in present decision making on resource allocation, and some modest first steps are urgently called for. These

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could consist of preliminary work on investment evaluation criteria which could be carried out at international and regional levels and then tested at selected national levels. After a limited number of test-and-feedback adjustments, investment manuals could be produced and tested on a full scale, with only monitoring support from international sources. Over a short term period, it would only be possible to draft guidelines and give them limited testing. The cost of each such manual would be in the order of \$US 40,000, assuming that it could be attached to planning activities already being undertaken at the national level.

(c) Legislation

37. The need for legislative improvements can only be determined in each individual country in relation to particular circumstances. Essentially, the process calls only for expert advice and for monitoring of the results, in order to iron out any problems in adoption and implementation. Over a period of five years, the need in 50 countries could be covered for a total cost of about \$US 2.5 million.

(d) Institutional reorganization

38. This is a complex but vital issue in any human settlement improvement programme. The weakness of interdepartmental organizational arrangements in the developing countries is one of the critical stumbling blocks to effective implementation of economic, social, functional, and environmental upgrading. It is important to stress that all countries have different needs both in degree and kind. Nevertheless, the crisis of settlements will be most evident in the urban areas. This is particularly true for developing countries where it is expected that urban populations will more than double by the end of this century. This will give rise to new and more complex problems requiring new and responsive institutions to deal with them. Institutions of this kind in order to be effective must result from decisions taken at the highest political level.

39. To assist this process, the United Nations could provide expert support and advise in the formulation of proposals for change essentially national in character. International co-operation could assist in the mechanics of carrying out these proposed changes. It is envisaged that many countries of the developing world will seek this type of assistance and it may not be possible to satisfy all of them in the short term. The approach being suggested here is that a demonstration sampling be implemented initially. This could be achieved at a cost of about \$US 120,000 per country over a five-year period.

(e) Urban management

40. The building and improvement of cities must be accompanied by the provision of management skills adequate for their ongoing operation. This would involve both personnel training and the study of such issues as land tenure, tax measures, services financing and infrastructure maintenance. Each country is an individual problem in this respect and many individual cities within countries would need attention, through the provision of expert studies and advice. An attempt to examine priority issues might be undertaken with a budget commitment of \$US 250,000 per country over a five-year period.

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(f) Summary of policy formulation and institutional improvement

41. Depending on the number of countries to be covered, a commitment to a full five-year programme in the above areas would cost between \$US 5 and 25 million, as indicated in the table on page 24. Most of this cost would be expended at the national level, for direct assistance to individual countries and would, presumably, have to be funded from the United Nations extrabudgetary programmes.

B. Education and training

42. All training activities described below would be designed to cover professional, para-professional, managerial or fiscal aspects of human settlement education, or any combination of these. It must be assumed that on-the-job training would be an important component. However, for activities specifically directed only to education and training, there are a variety of options both in size and time scale. The types of training described below are an indication of some of the most effective ways of engaging international co-operation in this activity.

(a) National training institutions

43. In most countries, the long term goal must be to set up independent, self-supporting training facilities to meet the ongoing demand for human settlement skills. This objective could be approached gradually or there could be an immediate decision to establish training capacities through the mechanism of a new, self-sufficient organization. This last decision would, of course, imply the deployment of very substantial resources, to achieve any practical result. Experience shows that the cost of reaching a minimum take-off for one such institution in a developing country would be in the order of \$US 1 million. The total costs involved would depend upon the number of countries requesting assistance in establishing institutions of this type. It may be advantageous to establish a small number initially and to monitor and evaluate the experience gained.

(b) Regional training institutes

44. Regional training institutes have already been established for a number of sectors. The advantage of this approach is that it provides some immediate training capacity at fairly modest cost and that it serves as a useful device for countries individually too small to support the needed facilities. However, it can only be a temporary measure, since it could never develop the capability of providing all the service required in a region. This responsibility will eventually have to be shouldered by national institutions, leaving the regional institutes with a more specialized role which will emerge in accordance with the circumstances.

45. Nevertheless, regional institutes do offer an opportunity to respond to immediate needs in a timely way, while at the same time leaving open all the options for full-scale, long-term actions as further resources become available. The least effort that could be envisaged would call for five regional centres with possibly two additional centres for the Latin American and African regions respectively.

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The geographical boundaries for these centres need not necessarily correspond to those of the regional commissions; other criteria such as commonality of language or cultural affinities might usefully apply. The installation cost for a single centre would be in the vicinity of \$US 1.5 million, so that acceptance of this component for seven such centres would imply an initial budget commitment of about \$US 10 million.

46. The total expenditure on training institutes would take place at regional and national levels. However, the expenditure would be purely for preparatory purposes and once the institutions were established and functioning, it is expected that other sources of funding would be found to continue the work.

(c) In-country training

47. As already pointed out, the core of any educational and training programme must be at national level. However, due to the relative novelty of the concept of human settlements and the complexity of the issues to be covered in depth, few countries have yet mounted fully fledged courses in this area. International co-operation might therefore be required to provide the necessary encouragement, supply some of the educational material required, contribute to the fees of the national experts responsible for running the courses and, if necessary, supplement the latter by a small number of international experts.

48. A programme of this kind would almost inevitably be located in existing national institutes where several courses per year could be mounted, their number depending on local demand and the duration of each course. A three man international team would cost approximately \$US 120,000 per annum, including salaries, per diem, travel expenses and a modicum of teaching material.

(d) Group foreign training

49. This is a promising variation on the fellowship system which is already used by some countries. The provision of about 10 trainees by a country or group of countries from a single subregion makes it possible, with the assistance of international co-operation, to arrive at a special agreement with an appropriate educational institution regarding the preparation and administration of courses directed specifically to the situation of a requesting country and to the precise vocational needs of the group of trainees in question. In some cases, such group training courses can be integrated with regular academic courses at a national university, enabling the trainees to gain professional qualifications through co-ordinated studies. This is a relatively expensive option and its benefits are strictly limited to the trainee group, making it most suitable for short-term, action directed training. The cost for this type of specialized course would be in the order of \$US 30,000 per three-month course for from 7 to 12 participants.

(e) Individual foreign training

50. The funding of international fellowship, through technical assistance projects, has been the mainstay of the so-called training effort to date and its virtual

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ineffectiveness is too well known to call for further discussion. This avenue should be reserved for only the most limited use in very special circumstances, and as such has not been taken into account for costing purposes.

(f) Summary of education and training

51. The cost of a five-year training programme would range from approximately \$US 12 to 50 million as indicated in the table on page 24; most of it would be expended at national and regional levels.

C. Research

52. In order to develop a capacity in the major regions of the developing world and consequently within individual countries to undertake research on human settlements, it is proposed to establish regional research centres whose main task would be to provide policy makers and planners in the countries of the region with the knowledge required to fulfil developmental tasks. A great deal of research in this area is being carried out in industrialized countries and the choice of subjects, as well as the results, are not always pertinent to the problems experienced in developing countries.

53. Initially it would be necessary to establish priorities for research within the region. For this purpose, a small team of five to seven experts, recruited from within the region, would be entrusted with the task of drawing up an agenda for research, through consultation with Governments of States Members of the United Nations, national research institutes and academic institutions, both national and regional. While carrying out the study, this roving team would be expected to develop a network of institutes with the capacity for carrying out research on human settlement issues. The team would draw up a report on its findings in relation to three key issues: priority areas of research, existing gaps in knowledge and proposals for immediate and mid-term research projects.

54. Responsibility for convening of an ad hoc intergovernmental meeting to consider the findings and endorse the proposed action would rest with the regional commissions and national research institutes would be contracted to undertake the research projects agreed upon. For this, the network of institutes developed earlier would be invaluable. Research projects would only be undertaken by the regional centre if the volume of work already in hand was too heavy or there was a lack of appropriate available skills in national institutes.

55. The regional research centres would be responsible for monitoring commissioned research; identifying new areas requiring attention; ensuring dissemination of relevant results giving information on what was being currently researched and indicating where further and more detailed information could be obtained; stimulating national institutes to undertake additional research work by the injection of money, ideas and, where requested, advice on approach and methodology; training prospective research workers from the region; and orienting outside experts and bringing them up to date about the human settlement needs and problems of the countries of the region.

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56. Wherever feasible, these centres would be based on existing national or regional institutes. Their initial size would depend on the results of the earlier stages outlined above and their ultimate size would depend on how successful they were in assisting national institutes to increase their own research capacities. In other words, their success would be manifested by a reduction in their own research activity and a greater emphasis on the other functions described above.

57. The cost of setting up regional research centres is difficult to estimate and would vary from region to region, depending on the facilities available. A budget estimate for setting up and running four such centres over a five-year period would amount to some \$US 14 million or 3.5 million per centre. However, it may be valuable initially to try out and monitor two centres and, if they proved successful, to embark upon additional ones. It must be borne in mind that costs, particularly those concerned with setting up the centres, could be considerably reduced if they were combined with the regional training institutes outlined in the previous section and with the regional information centres described below.

D. Information exchange

58. Proposals for international exchange of information and documentation have been under study in the United Nations for many years, but have not materialized due to lack of funding. The elements of such a system would be:

- (a) A global information centre;
- (b) A network of regional information centres; and
- (c) An audio-visual library.

- (a) Global information centre

59. The need for a global centre responsible for the collection, storage, processing and dissemination of the full range of information on human settlements has long been established and both its functions and resource requirements have been considered in the past. As part of its efforts in the field of information exchange the Department of Economic and Social Affairs has undertaken a feasibility study for a global information system in the field of human settlements. The results of this study will be available in time for the Conference. On the assumption that the proposed function of the global centre will be to link existing facilities into a co-ordinated network and that its own documentation role will be limited to filling gaps, the required funding has been previously estimated at about \$US 2.5 million to cover installation and operating costs over a period of five years.

- (b) Regional information centres

60. It has also been assumed that the global centre would be matched, on the regional level, by appropriate centres acting as an integral part of a truly world-wide network and, by their very nature, placed closer to the national supplies and consumers of information. The regional centres would also perform a crucial function of training for the staff of the network of the national centre which, in the last resort, are the primary elements of the system. Given the strong relationship between research, education and information exchange

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activities, it might be desirable and, in many cases, possible to combine the centres with those proposed in chapter IV, sections B and C. This would, of course, have implications in terms of resources; however, for the purpose of estimating an over-all order of magnitude, it is suggested that each centre would require \$US 1 million for an initial period of five years.

(c) Audio-visual library

61. One of the original features of the Habitat Conference is that, for the first time, an attempt will have been made to record and exchange positive experience in solutions to human settlement problems. In order to maintain and promote the impetus gained, it would be essential to use the audio-visual presentations, expected to exceed 200, and the travelling exhibit, as the basis for a demonstration projects programme.

62. The long-term goal would be to establish an audio-visual library, centrally located and staffed by human settlement professionals and film technicians. This library, set up through international co-operation, would encourage countries to continue to record their experiences, through the provision of money, material in the form of raw film stock and/or technical equipment, as well as technical expertise upon request. Its functions would also include the establishment of an ongoing system of updating the presentations, together with mechanisms for their efficient distribution to Member States and others who would benefit from this type of experiential exchange.

63. An enterprise of this type would require a considerable financial input both for its inception and running costs. It would have to operate within whatever new organizational structure is adopted for dealing with human settlement problems at the global level. Its mid-term objectives would be the consolidation of the nucleus of existing material, the finalization of details of the structure of the library, the initiation of steps for funding and the preparation of teaching packages.

64. Because of the very specialized and complex nature of this task, the Preparatory Committee, at its second session, emphasized the importance of devoting particular attention to this matter. A programme defining three levels of activity has been established. The cost of this operation would vary from \$US 1 million to over \$US 3 million, depending on the level of service required.

E. Delivery mechanisms

65. This activity covers such items as the organization of private financing institutions and co-operatives, the improvement of the capabilities of the formal and informal construction industries, and the upgrading of capacities to execute physical work. It also includes the introduction of technical improvements into the planning process, in order to relate it more closely to priority demands. Each country is a particular case, so that very little can be done at the global and regional levels, and the following is merely a broad indication of possible elements.

(a) Building industry

66. Although some scattered research has been carried out on construction techniques, little is known about the formal or informal building industries in

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developing countries. Construction is a labour intensive activity and opens the opportunity for the exploitation of indigenous raw materials and processing operation; therefore much more emphasis is needed on the economic development potential of the construction sector. Because knowledge of this element is so scanty, the first activities should consist of selected research studies at national level in a representative array of countries. When this information has been digested and some conclusions drawn, a broader attack, in a greater number of countries, could be mounted. An allocation of about \$US 250,000 per study would be appropriate.

(b) Planning capabilities

67. In many developing countries, the planning agencies presumed to be responsible for guiding the growth of human settlements are very poorly equipped for the task. This does not refer to the quality of the professional staff, which is an educational problem, or to organizational deficiencies, which are an institution building problem. It refers to the lack of planning concepts appropriate to the cities of the developing world and to an imperfect perception of the role and priorities of planning activities.

68. In order to remedy this situation some supportive activities are called for at the national level. These would consist of model studies in a few selected cities demonstrating how certain planning goals and directions could be established, plus some seminar-type activities in as many cities as possible, to spread information on the results of the model studies and to identify common features which might be adopted for follow-up. Since the seminars cannot take place until after the model studies are completed, the first commitment would be of about \$US 500,000 per study for the preparatory phase.

(c) Financing institutions

69. The lack of provision of funds for human settlement development has been a significant constraint on actions needed to maintain and improve settlements. The justification frequently given is that developing countries have no funds available and that human settlements must compete for scarce international resources. However, the fact is that many, perhaps most, human settlement investments have or can have a negligible foreign exchange component. Furthermore, some studies have indicated that funds are available in the country but have not been mobilized due to lack of policy direction or implementation mechanisms. A priority requirement is a study of these issues for each country where human settlement resources have been inadequate, to promote the redirection of money flows into the human settlement sector for both public and private investment.

70. Such a study would include, but not be limited to, fund raising devices for public development authorities, strengthening of financing arrangements for private company activities and the provision of loan mortgage arrangements for individual house owners, small entrepreneurs and informal industrial establishments. The provision of this advice and support to developing countries could cost as much as \$US 300,000 per country, although careful selection of initial countries might provide a substantial degree of experience applicable elsewhere. This would only become clear as the programme proceeded.

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(d) Self-help and co-operative housing

71. One of the most apparent deficiencies of third world towns and cities is the state of the housing stock which is, not infrequently, rapidly worsening. In many instances, this situation has been brought about by the imitation of the housing-delivery mechanisms of developed countries, regardless of the fact that they are totally unsuitable to the context in which they are being applied. Usually, these actions have not only failed to solve the problem but have hampered already functioning mechanisms which could have dealt with needs more effectively, had they been supported rather than supplanted.

72. For the most part, solutions to this problem would have to be found at the national level, although some broad guidelines might be generated at regional and global levels. There would be a need for the study of institutions and techniques and, probably, for the execution of demonstration projects. An initial allocation of between \$US 25 and 50 million over five years would be sufficient to put this element on a workable basis: an upper limit would be \$US 85 million and, after this initial input, the goal should be to make these activities self-sustaining.

(e) Summary of delivery mechanism elements

73. In order to make an impact in this area, a commitment, the upper limit of which would be approximately \$US 130 million and the lower limit \$US 30 million, would have to be made over the next five years. Most of these funds would be expended at the national level, with some limited global and regional activities in connexion with the preparation of guidelines and seminars.

F. Summary of programme costs

74. The present annual expenditure on technical assistance projects supervised by the Centre for Housing, Building and Planning alone in the field of human settlements amounts to over \$US 13 million over 75 per cent of which is expended on personnel including subcontractors, volunteers and associate experts, the balance being utilized for training and equipment. 4/

75. To achieve a truly comprehensive approach, it is necessary to consider the programmes as packages containing a number of the elements outlined above, adapted to the needs of individual countries by placing different emphasis on any of the elements within a given package. It follows that initial consultations and studies will be required in order to assess the needs of countries before precise programme packages can be drawn up.

76. In the absence of such studies, only approximate orders of magnitude can be put forward for alternative levels of programmes, covering the activities described in the preceding sections. These are summarized in the table on page 24, which

4/ For an estimate of current secretarial costs, see chap. V.

indicates both an approximate unit cost for each programme and three alternative levels of implementation. On the assumption that the programmes indicated above are additional to those currently implemented and even if the relative weight of different components of packages were to be changed substantially, it is unlikely that the minimum level would amount to much less than \$US 60 million over a period of five years; this would represent roughly a doubling of the current level of technical assistance projects referred to in paragraph 74 above. On the other hand and under the same assumptions, the maximum proposed level of implementation would amount to approximately five times the current commitment.

77. Although the percentages of activities at the national, regional and global levels differ for various programme elements, it may be assumed that some 90 per cent would be executed at the national level, the rest at regional and global levels.

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Table of costs
(in \$US 1 million)

PROGRAMMES	UNIT COST	LEVEL I		LEVEL II		LEVEL III	
		NO.	COST	NO.	COST	NO.	COST
(a) Models	0.08 ^{1/}	10	0.80	20	1.60	50	4.00
(b) Investment manuals	0.04 ^{2/}	10	0.40	20	0.80	50	2.00
(c) Legislation	0.05 ^{3/}	5	0.25	10	0.50	50	2.50
(d) Institutional reorganization	0.12 ^{3/}	5	0.60	10	1.20	40	4.80
(e) Urban management	0.25 ^{3/}	10	2.50	20	5.00	50	12.50
(a) National training institutes	1.00 ^{4/}	5	5.00	10	10.00	20	20.00
(b) Regional training institutes	1.50 ^{4/}	3	4.50	5	7.50	7	10.50
(c) In-country training	0.60 ^{5/}	5	3.00	10	6.00	15	9.00
(d) Group foreign training	0.45 ^{6/}	Nil	Nil	5	2.25	20	9.00
II. Research	3.50 ^{7/}	2	7.00	3	10.50	4	14.00
(a) Global information centre	2.50	Nil	Nil	partial	1.50	full	2.50
(b) Regional information centres	1.00 ^{8/}	3	3.00	5	5.00	7	7.00
(c) Audio-visual library	n.a.	partial	1.00	partial	1.63	full	3.20
(a) Building industry	0.25 ^{9/}	10	2.50	20	5.00	50	12.50
(b) Planning capability	0.50 ^{9/}	5	2.50	15	7.50	30	15.00
(c) Financial institutions	0.30 ^{9/}	10	3.00	20	6.00	30	9.00
(d) Self-help and co-operative housing; and demonstration projects	0.10 ^{9/}	10	1.00	30	3.00	50	5.00
	4.00 ^{10/}	5	20.00	10	40.00	20	80.00
Totals for a five-year period			57.05		114.98		222.50

- ^{1/} Per model.
^{2/} Per manual.
^{3/} Per country over five years.
^{4/} Per institute over five years.
^{5/} Per team over five years.
^{6/} Three courses per year for five years.
^{7/} Initial plus operating costs for five years.
^{8/} Per centre.
^{9/} Per study.
^{10/} Per project.

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V. PROPOSED INSTITUTIONAL ARRANGEMENTS

78. The present chapter sets out, in some detail, the proposed institutional arrangements that would appear to be required in order to achieve the objectives, fulfil the functions and implement the programmes briefly described in the preceding chapters. It comprises two sections:

- (a) A set of criteria to guide proposals for institutional arrangements; and
- (b) A proposal incorporating these criteria and describing a common institutional profile.

79. Alternative institutional arrangements proposed by the Department of Economic and Social Affairs and the United Nations Environment Programme are described in annexes I and II respectively.

A. Criteria

80. Following are a set of criteria which have emerged from the extensive consultations carried out by the Habitat secretariat; they represent, at this stage, a broad form of consensus on the main features of any institutional arrangement for international co-operation in the field of human settlements.

(a) New functions, new activities. Increased national efforts to solve human settlement problems must receive greater support. This implies new functions and new activities of international co-operation;

(b) Improved machinery. Apart from increasing the total resources, it is imperative to improve the machinery through which they are currently channelled, within and without the United Nations system, at global and regional levels;

(c) Concerted action. Any new arrangement should use the resulting capabilities and machinery as the linchpin of a true United Nations system which can mobilize the legitimate interests and expertise of other organizations in the family, within a harmonized system of programmes;

(d) Global intergovernmental body as focal point. A global intergovernmental body should deal specifically with human settlements, with a view to promoting the concepts delineated by the Conference, provide over-all policy guidance and constitute the forum with which national decision makers could identify;

(e) An intergovernmental body in each region. The global body should be matched, at the level of the regional commissions, by an intergovernmental policy making body having close links both with the regional parent and the global body;

(f) Leadership by a central unit. The global intergovernmental body should be served by a small central staff capable of providing the required leadership for a concerted, expanded programme of international co-operation in human settlements; such a unit should be located preferably within an existing

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organization of the United Nations system, and be headed by an administrator of the highest rank;

(g) Decentralized operations. The central staff should assume operational responsibilities only in the last resort, so as to concentrate their resources in their defined areas, namely the development of an integrated approach to international co-operation in this field, in particular through the promotion of research, education and training, the dissemination of information, the elaboration of policies and programmes and the provision of technical assistance;

(h) Priority to the regions. Activities of international co-operation in the field of human settlements should be decentralized to the greatest possible extent. The central staff should undertake only those tasks for which the regional level is inadequate or inappropriate;

(i) Links with financing institutions. Close links should be developed at all levels with regional and global financing institutions concerned with human settlements, in particular the regional development banks, to ensure the consistency and improve the efficiency of programmes implemented at national level.

(j) Additional resources on a voluntary basis. In the first instance, a regrouping and consequent rationalization of resources presently allocated to human settlements should yield greater results; additional ones would have to be sought through various sources, mainly in the form of voluntary contributions.

(k) Focal point for international co-operation. The United Nations system and, within it, any institutional arrangement dealing with human settlements should provide the focus for the active participation of other organizations interested and concerned, both intergovernmental and non-governmental.

B. Common profile

81. The outline of proposed institutional arrangements, meeting the criteria set out in the preceding section, is presented below under three subheadings:

- (a) Intergovernmental arrangements at global and regional levels;
- (b) Secretariat arrangements at different levels; and
- (c) Intersecretariat arrangements.

(a) Intergovernmental arrangements

Global

82. The principal function of a global intergovernmental body would be to develop and promote policy objectives, priorities and guidelines regarding ongoing and planned programmes of work in the field of human settlements, as formulated in the Conference recommendations and subsequently endorsed by the General Assembly at its thirty-first session. In the fulfilment of this task, the intergovernmental

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body would regularly review the activities of the United Nations system and other international organizations in the field of human settlements and, when appropriate, propose ways and means by which the over-all policy objectives and goals in the field of human settlements might best be served.

83. The global intergovernmental body would also discuss and assess, on a regular basis, new issues, problems and especially solutions in the field of human settlements, both those of a national character but of concern to many States, and those of a regional or international character.

84. Until a decision is made on the continued existence of separate voluntary funds in the whole United Nations system, the intergovernmental body would exercise direct and over-all policy guidance and supervision of the operations of the present United Nations Habitat and Human Settlements Foundation.

85. To respond to new challenges and opportunities, the intergovernmental body would have the power to convene special sessions, intergovernmental and other ad hoc experts' groups meeting as required, to consider in detail specific problems and solutions within its competence.

86. The intergovernmental body would provide over-all direction to the secretariat, servicing it, for carrying out the programmes and tasks which it has approved. It would also have the power to designate organizations, outside the United Nations system, which would be associated with, and contribute to, international co-operation in the field of human settlements.

87. The composition of the global intergovernmental body would reflect an equitable geographical distribution. The size and broad regional composition of the Preparatory Committee for the Conference could be used as guidance in this context.

88. Following the precedent set by the Preparatory Committee, the participation in the global intergovernmental body would comprise high level policy makers and senior advisers and experts with special competence and knowledge in the field of human settlements. It is also suggested that the first few days of the meeting of the global intergovernmental body be set aside for a general policy debate and review, if possible at ministerial level.

Regional

89. It has been repeatedly recognized and emphasized, throughout the preparatory process for the Conference, that strong and effective international action on human settlements is needed at the regional level. The four regional conferences and consultations, organized by the Habitat secretariat in co-operation with the United Nations regional commissions in June and July 1975, demonstrated both the need and potential for continuing intergovernmental bodies at the regional level.

90. It is therefore recommended that intergovernmental committees on human settlements be established as principal subsidiary bodies in each of the regional commissions at the first session of each commission following the Conference. The

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membership would be similar to that of the global body in that high level policy makers and senior advisers and experts from the region would attend.

91. The regional intergovernmental bodies would reproduce, at the regional level, the basic functions of the global body. In addition, since the implementation of programmes of bilateral and multilateral co-operation would be decentralized at the regional level, the regional intergovernmental bodies would have special responsibility for the design, development, supervision and regular assessment of such programmes.

92. The regional intergovernmental bodies would be similar in structure, composition and function to other principal subsidiary bodies of the regional commissions. Accordingly, they would have the power to recommend to their parent organ the convening of special sessions and seminars on specific human settlement problems and solutions, as well as other formal or ad hoc meetings and consultations among Governments and experts. All States members of the commissions would be entitled to representation on the corresponding regional bodies.

Other

93. Special links and relationships would be established between the intergovernmental bodies on human settlements at the global and regional levels. As one such special link, it is proposed that countries which hold the positions of chairman and two other senior officers in each of the regional intergovernmental bodies on human settlements be members of the global intergovernmental body.

94. It is proposed that the global intergovernmental body be convened in 1977 and meet as frequently as necessary to maintain the momentum of the Conference and ensure that follow-up action is undertaken effectively and without unnecessary delay. The regional intergovernmental bodies should be established and convened as soon as possible given the calendar of regular sessions of the parent body; the timing of their meetings should be co-ordinated with those of the global body, possibly in alternate years.

(b) Secretariat

95. There would be three basic groups or levels within the proposed settlements unit, namely:

The central staff;

The regional staff; and

The itinerant or seconded staff.

96. The main functions of the central staff would be:

(i) To serve the global intergovernmental body described above:

(ii) To service, as required, any other global legislative organ and to act

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as the central point for communications on human settlement matters within the United Nations system;

- (iii) To provide the focal point for a global exchange of information on human settlements;
- (iv) To ensure the harmonization, at intersecretariat level, of programmes planned and carried out by the system;
- (v) To deal with interregional matters;
- (vi) To assist in the recruitment of expertise at global level;
- (vii) To supplement the resources of the regions when so required, particularly in areas of high specialization;
- (viii) To promote collaboration with, and involvement of, the world scientific community concerned with human settlements;
- (ix) To establish and maintain a global network of consultants and advisers to supplement the skills available within the system;
- (x) To initiate major public information activities in connexion with human settlements;
- (xi) To promote the further and continued use of audio-visual material related to human settlements;
- (xii) To carry on the mandate and responsibilities previously assigned by the appropriate legislative bodies to the secretariat units to be absorbed in the central staff.

97. The main functions of the regional staff would be:

- (i) To serve the regional intergovernmental body described above;
- (ii) To review progress in the implementation of programmes within the regions;
- (iii) To promote the active collaboration of governmental representatives in human settlement related activities;
- (iv) To assist Governments in the region in the formulation of their requests for assistance from the appropriate bilateral and multilateral bodies;
- (v) To establish close links with the appropriate financial institutions at the regional level and with the corresponding regional and sub-regional echelons of the specialized agencies; and
- (vi) To provide the technical and administrative back up required by the itinerant and seconded staff in the region.

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98. The main functions of the itinerant or seconded staff would be:

- (i) To compose or, at least, provide the core of short-term advisory teams (similar to the United Nations Development Assistance Teams already in operation under the sponsorship of the Centre for Development Planning, Projections and Policies of the Department of Economic and Social Affairs) capable of responding rapidly and effectively to specific requests by Governments;
- (ii) To supplement, when required, the personnel resources of the United Nations Development Programme and specialized agencies active in the field of human settlements;
- (iii) To strengthen the resources of the regional financial institutions in the field of human settlements;
- (iv) To act as the forward echelon and supplement the regular network of information gathering and evaluation for the benefit of the system as a whole;
- (v) To contribute supplementary skills in the briefing of experts and to formal regional education and training programmes.

99. The essential function of expert support for technical assistance activities in the human settlements field, currently assumed by the central and regional units of the system, would eventually be assigned to the appropriate level of the new secretariat unit, depending on the outcome of the ongoing review of UNDP programmes and the general discussions on the restructuring of the social and economic sectors of the United Nations system.

100. The total staff resources currently available within the United Nations system proper (i.e. including the manning tables of the Centre for Housing, Building and Planning, the Habitat and Human Settlements Foundation and appropriate sections of the United Nations Environment Programme and of the regional commission secretariats, but excluding those of other divisions of the Department of Economic and Social Affairs) are of the order of 100 Professional and 60 General Service posts; approximately 60 per cent of the Professional posts are financed from the regular budget. This total does not include the technical personnel in the field (who, in January 1976, comprised over 350 members including associate experts, United Nations volunteers and the staff of subcontracting firms in the field) nor the general supportive staff of the organizations concerned, such as executive and personnel officers, general library services, documents control and publication, etc.

101. The current distribution of the established posts included in the preceding total is approximately 40 per cent in the Centre for Housing, Building and Planning, 40 per cent in the United Nations Environment Programme and Habitat and Human Settlements Foundation together, and with the remainder in the regional commissions; however, a number of the Habitat and Human Settlements Foundation posts are not as yet filled.

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102. It is proposed that, in the first phase, the secretariat concerned with human settlements comprise approximately the same number and grades of Professional posts as above, although it is envisaged that the job descriptions and qualifications required to fit them would eventually be changed to match the different scope of programmes of international co-operation proposed by the Habitat Conference.

103. As a basis for discussion, it is proposed that the three levels of staff indicated above would command roughly the following proportions of Professional and related resources: 5/

Central	-	up to 40 per cent
Regional	-	at least 40 per cent
Itinerant or seconded	-	approximately 20 per cent

104. The total annual budget of an organization fulfilling the functions described in paragraphs 96-98 above and comprising the staff indicated in paragraph 100 would be of the order of \$US 6 million at 1976 rates. This total does not include either the cost of field staff referred to above nor any capital or set-up cost which might be required, should important changes be introduced in the location of principal units of the existing secretariat.

(c) Intersecretariat arrangement

105. Appropriate consultative machinery would be set up for the purpose of exchanging information on existing and planned programmes and projects, improving interorganizational co-operation, and developing more effective ways and means for international organizations to serve, as part of an over-all system, the objectives and goals set by Governments in the field of human settlements. Thus, for instance at global level, regular intersecretariat meetings devoted exclusively to the field of human settlements would be convened by the head of the secretariat serving the global intergovernmental body, with the participation and, possibly, under the rotating chairmanship of officers of similar rank drawn from the United Nations system and other international organizations. Similar intersecretariat meetings of peers would be convened and chaired at the regional level by the heads of the secretariats serving the regional intergovernmental bodies.

5/ This does not include the field staff mentioned in para. 100 above.

Annex I

INSTITUTIONAL ARRANGEMENTS FOR HUMAN SETTLEMENTS

A proposal submitted by the United Nations Department of
Economic and Social Affairs (alternative A)

A. Summary

1. The proposal is to consolidate the comprehensive requirements for a human settlement programme under the co-ordinating and policy-making control of the Economic and Social Council, assisted by a newly formed organ, at the highest level, dealing exclusively with human settlements. Administrative and operational activities would be dealt with by a new unit for human settlements. Based on the existing Centre for Housing, Building and Planning, plus redeployed resources from other offices covering such disciplines as economics, energy, natural resources, transport, administration, finance, social development and statistics. The new unit would work through the Department of Economic and Social Affairs, utilizing the regional commissions which would be strengthened to undertake an expanded role in the human settlement field. The Habitat and Human Settlements Foundation would retain its separate identity but be integrated into the over-all system..
2. It is suggested that the intergovernmental body for policy formulation, priority setting and co-ordination be the Economic and Social Council, subject to recommendations on general reorganization by the Ad Hoc Committee on the Restructuring of the Economic and Social Sectors of the United Nations system. It is also suggested that it might be useful to establish a board to assist the Council in identifying the issues and alternatives on which it must make decisions.
3. The regional commissions would play an increasingly important role and be strengthened (with assistance, where necessary, from Headquarters) so as to be capable of advising on policy and executing research and operational programmes in the regions. The human settlement units in the regional commissions would also be integrated with other relevant programmes in the commissions.
4. The core unit would be a new United Nations office of human settlements, based on the existing Centre for Housing, Building and Planning which would be expanded and strengthened by the addition of relevant expertise from other offices of the Department of Economic and Social Affairs with which it would retain close working relations. A newly established central information unit would serve the information needs of the office of human settlements directly and would also be linked to information units in the regional commissions, national governments and non-governmental organizations. The office of human settlements would serve as the secretariat of the designated intergovernmental body and any supporting intergovernmental or interagency machinery established to assist it.
5. The Habitat and Human Settlements Foundation would become the financial arm of the human settlement programme.

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6. Harmonization with the rest of the United Nations system would be achieved through the mechanism of medium-term planning and programme budgeting. The human settlements board would be utilized to obtain the views of Governments and United Nations agencies on agency planning proposals, in order to recommend policies, priorities and programmes to be carried out in a harmonized fashion by the office of human settlements and other participating agencies.

7. Liaison with organizations outside the United Nations system would be an essential element in implementing internationally assisted development efforts at the national and regional levels. In order to accomplish this, a network of linkages between the United Nations system and regional and national institutions, both governmental and non-governmental, would be established.

8. An important advantage of these institutional arrangements is that they would provide the capacity and authority to act immediately on post-Vancouver actions, without organizational or establishment delays.

B. Introduction

9. Taking into account the previously agreed criteria and proposed programmes for national and international action, this alternative has been formulated on the basis of the following perceptions:

(a) That the magnitude and character of the problems of human settlements in developing countries are massive and complex;

(b) That these problems are a reflection of and inseparable from the existing states of economic and social under-development, combined with fundamental processes taking place in most developing countries, e.g., industrialization, increased agricultural output, improved education and the accompanying urbanization trends;

(c) That national and international efforts to deal with the resulting problems in human settlements must be integrated with over-all economic and social development programmes;

(d) That, while national governments must assume the greater part of the burden, the international community has a responsibility to assist countries through appropriate programmes;

(e) That, since the resources available at both national and international levels are and will be inadequate to meet all needs, it is vital that the resources which can be made available are mobilized to the full extent possible and applied with optimum effectiveness;

(f) That the United Nations system does not at present meet the comprehensive demands of human settlements because it fails to function in an integrated, harmonious manner and because there is no over-all guidance on policies, priorities and responsibilities;

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(g) That the configuration of international human settlement programmes can be reorganized in such a way that a synergistic effect is achieved and resources made to produce more effective results; and

(h) That a primary operational objective should be to mobilize the full potential of technical, financial, physical and intellectual resources both within and without the United Nations system.

10. Flowing from the above perceptions, it is possible to define the programme aims of the United Nations, in the field of human settlements, as:

(a) To support policies, priorities and programmes for national human settlement action, as adopted by individual countries;

(b) To provide a comprehensive and integrated basis for sectoral action in the human settlement field;

(c) To relate action appropriately to national levels of social and technological development;

(d) To rationalize international action so as to ensure that effort is directed into areas likely to be of common benefit to as many countries as possible;

(e) To give priority attention to the most deprived people and most disadvantaged communities;

(f) To adopt an approach which is problem oriented and aims at action output;

(g) To mobilize necessary resources from all available sources and channel them in a concerted attack on the crucial issues affecting human settlements, particularly in the developing countries.

These aims assume that Governments will identify their national goals for human settlement development and generate practical operational targets and priorities for human settlement programmes.

C. Intergovernmental arrangements

11. Since the Ad Hoc Committee on the Restructuring of the Economic and Social Sectors of the United Nations system is considering new arrangements at both secretariat and intergovernmental levels, any recommendations proposed at the Habitat Conference on this point should be flexible enough to be adapted to future changes in the over-all system. With this in mind, it is proposed that ECOSOC, being the highest intergovernmental body dealing with economic and social matters, be the appropriate forum for the establishment of policies and priorities, the harmonization of programme objectives of different United Nations organizations with activities in this field, and the evaluation of programmes being carried out. The possibility of a human settlements board or similar body to assist ECOSOC in these functions has been suggested above.

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12. At the regional level, it may be desirable to establish special committees or special sessions of the regional commissions, where they do not already exist, to perform a similar function with respect to priority setting and plan and programme harmonization. The experience of joint regional commissions/specialized agencies operations provides a useful basis for further development of this concept in the field of human settlements.

D. The human settlements board

13. The Economic and Social Council may establish a human settlements board, to assist it by providing the Council with professional guidance on issues relevant to international programmes. The functions of such a board would be to:

(a) Act as the focal point for the United Nations system of organizations and play the integrative and co-ordinating role in all activities relating to human settlements;

(b) Examine existing situations and trends concerning urbanization and human settlement development, including financing, legal and administrative aspects;

(c) Advise the Economic and Social Council on the harmonization of human settlement issues arising from United Nations activities, such as the United Nations Development Decade, the United Nations Environment Programme, the Programme of Action on the Establishment of a New International Economic Order, and the "New Dimensions" of the United Nations Development Programme, as well as from the recommendations of international global conferences;

(d) Advise the Council and other appropriate organs and bodies of the United Nations on financial measures and mechanisms required to implement the programme on human settlements; and

(e) Examine human settlement programmes undertaken by the United Nations system including the regional commissions and recommend to the Council appropriate measures for their harmonization, using existing programme budgeting procedures or new mechanisms as appropriate.

In addition to representatives of Governments and specialized agencies, the membership of the human settlements board would include a representative of each regional commission.

14. The above focusing of responsibilities will help overcome one of the crucial deficiencies of the present system which is the lack of an authoritative, co-ordinating body with a clear mandate to give direction to the United Nations system as a whole. The human settlements board could help to achieve this objective by assisting ECOSOC to identify the critical issues and suggest ways to harmonize the policies and programmes of all units of the system with an involvement in human settlement activities. In this connexion, the important aspect is not the

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legislative detail but the principle of the arrangement and the General Assembly could decide on an alternative to the board, such as a special session of ECOSOC. This could be left for later resolution.

E. The role of the regional commissions

15. The regional commissions have been designated by ECOSOC as the main general economic and social development centres within the United Nations. Therefore, an important feature of this proposal is the strengthening of the regional organizations to make them the main vehicles for the execution of research and operational programmes, fitting in with the over-all decision by the Governing Council of UNDP on decentralization of operational activities. The commissions would identify crucial, national concerns in human settlements within the regions and would map out the main goals of an expanded, regional involvement in this field. They would also review all relevant operational performance in their respective regions and make recommendations for programme adjustments in the light of their special knowledge of current needs. They would establish strong links with their respective regional development banks and with appropriate academic and research institutions.

16. Regional activities would be integrated with and support international functions at the global level. In addition, the regional commissions would be responsible for:

(a) Study and formulation of solutions to problems which affect adjoining countries and require intercountry collaboration;

(b) Establishment of regional training and research institutions;

(c) Establishment of regional investment institutions;

(d) Execution and evaluation on the national level of technical assistance activities carried out by the United Nations system;

(e) Monitoring of operational activities carried out by other members of the international community; and

(f) Strengthening of technical co-operation activities between developing countries.

The commissions would gradually take over technical assistance and other operational functions, by building up a comprehensive, professional staff in human settlement units which should be established concurrently with the formation of the new human settlement unit at the global level. The exact phasing of the transition from headquarters-directed to regionally-directed field activities would depend on the budgeting approval for staff and on the scale of the regional programme reaching a level which can support an adequate overhead system.

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F. The office of human settlements

17. The new unit, to be known as the office of human settlements, would be set up, under appropriate leadership (possibly at assistant-secretary-general level) and with the following functions:

- (a) Advising on comprehensive policies and strategies for human settlement development;
- (b) Mobilizing the resources of the international community and channelling them to appropriate uses in developing countries;
- (c) Assisting in co-ordination of operational activities of all United Nations agencies whose programmes affect human settlements;
- (d) Collecting and disseminating statistical and other data on the state of human settlements;
- (e) Maintaining an information and documentation system on social and technological innovations in the field of human settlements;
- (f) Fostering collaboration between non-governmental organizations and drawing on their resources for support for the United Nations programme;
- (g) Establishing liaison with all bilateral agencies directly involved in human settlement work;
- (h) Obtaining the co-operation of national institutions in developed and developing countries, to optimize the benefits of their inputs to the solving of human settlement problems; and
- (i) Providing guidelines, monitoring and support to technical assistance activities in the developing countries.

The office of human settlements would report to ECOSOC and an appropriate relationship between it and the new human settlements board would be established. It would be linked to the regional commissions, which would be full participants in the new programme, and to the Department of Economic and Social Affairs which has one of the broadest mandates for general economic and social development and can provide a frame of reference for human settlement activities. The new office could be established as soon as the legislative and budgeting authority for the change was given by the proper bodies.

18. It is not considered necessary to consolidate the human settlements programme of UNEP with the office of human settlements. UNEP must maintain its concern with the environmental aspects of urbanization and needs some technical capacity of its own. However, UNEP's work would be specifically related to that of the office of human settlements and the Foundation, and close programme consultation would strengthen the operations of all three organizations.

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Policy and co-ordination

19. While it is not necessary or feasible to consolidate all the programmes within the system under a single administrative umbrella, it is necessary to establish a framework to bring cohesion to the elements, to harmonize the setting of priorities and policies, and to co-ordinate the programmes of the participating organizations. This calls for new approaches at the intergovernmental level and in intersecretariat structures. Taking the issue of intersecretariat arrangements first, it is clear that, even though the setting up of an office of human settlements would represent a step forward, the operations of the office would still have to be co-ordinated with those of the remainder of the system. One way of achieving this would be to use the recently established mechanism of programme planning and budgeting. All the organizations in the United Nations system now operate within a common planning and budgeting framework, in which policies are stated and priorities and objectives outlined. The office of human settlements could serve a valuable function in this regard by assisting ECOSOC (and the advisory board if established) to review and evaluate the proposed programmes of all organizations with human settlement related functions with a view to reaching complementary priorities, policies and objectives.

20. In this way, the different organizations in the system would be working within a common framework with priorities which would be harmonized in their over-all objectives and subsequently translated into sectoral programmes and projects. The office of human settlements would, of course, report to and receive its directives from ECOSOC, while the other participating agencies would continue to receive their programme instructions from their own governing bodies. However, the reporting procedure described in paragraph 14 would ensure that all governing bodies had the advice of ECOSOC and the human settlements board before them, as they considered the future plans and programmes of their respective agencies.

Dissemination of information

21. With respect to documentation responsibilities, the first function of the new office would be the continuation of the work of the Habitat Conference and the dissemination of information and material prepared for it. For this reason, this function would have to be taken up immediately, based on an expansion of the present capacities of the Centre for Housing, Building and Planning, where the nucleus for such an operation already exists. The short-term funding for initial response could come from voluntary support by interested Governments.

22. One of the important aspects of the Habitat Conference is that an attempt will have been made to record and exchange experiences in solutions to human settlement problems. In order to maintain and promote the impetus gained, it would be essential to use the audio-visual presentations, expected to exceed 200, and the travelling exhibit, as the basis for a continuing information programme. The long-term goal would be to establish an audio-visual library, centrally located and staffed by human settlement professionals and film technicians. This library would encourage countries to continue to record their experiences, through the provision of money, material and technical expertise, and could establish an ongoing system for updating the presentations and distributing them to Member States who would benefit from this type of experiential exchange.

23. In the long range, the office would assist in organizing the exchange of information and experience in the field of human settlements. These activities would be designed to serve Member States through the provision, by all appropriate means, of information which could be instrumental in the development of settlements. These activities would also provide basic human settlement information to all units of the United Nations and specialized agencies. The activities would include:

(a) Gradual establishment of national and regional centres for exchange of information, using mutually compatible methods and undertaking specified activities within a global system. The office would undertake information and referral services to developing countries in collaboration with existing institutes of documentation, such as the Inter-Governmental Documentation Centre of Housing and Environment for countries members of the Economic Commission for Europe;

(b) Study of the needs and capabilities of the developing countries in the field of exchange of information and exploration of more effective methods of exchange of information, including audio-visual. Assistance would be given to Governments, at their request, in the establishment or improvement of national systems of exchange of information, including the training of their staff.

Eventually, the office would establish links with all global information sources and distribute material through supporting regional centres set up for the purpose.

Research and development

24. In the fields of research and development, the office would maintain liaison and collaborate with research institutes throughout the world, and monitor and appraise the results of their activities. One purpose in this would be to bring together technologically advanced organizations (from both industrial and developing countries) which have analytical and problem-solving capabilities in critical areas, with developing country agencies which can benefit from the support of those capabilities. As far as direct execution of research projects is concerned, the office would confine its attention to issues best dealt with at interregional and global levels and to the development of concepts and strategies for testing in field conditions. The regional commissions would execute problem oriented research, based on the specific needs of country groups, with the solutions being applied in the field as part of the technical assistance programme and the results being fed back to the global level research programme for incorporation in overview studies.

Technical co-operation

25. In the field of technical assistance, the office would be responsible for actions undertaken at global and interregional levels, and assist in co-ordinating the programme operations of the participating agencies. Until the capacities of the regional commissions had been built up to take over the whole responsibility and the programme achieved a scale which made decentralization feasible, the office would act as the direct executing agency for specific national level projects. This activity would be gradually phased out.

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Staffing

26. With the exception of the information unit, the office of human settlements would not involve substantial additional staffing requirements, since most needs would be met by the redeployment of existing staff within the Department of Economic and Social Affairs and the regional commissions. There would, however, be additional requirements at the regional level for activities related to the programme. A general indication of staffing needs is given in section J. It is assumed that funds for most non-operational activities would come from regular budget allocations but that operational programme funding would come from extrabudgetary sources, including UNDP, the Habitat and Human Settlements Foundation and other voluntary contributions.

G. The United Nations Habitat and Human Settlements Foundation

27. The Habitat and Human Settlements Foundation represents not only a long cherished aspiration of developing countries but also a potentially important element in an effective human settlement programme. Until the creation of the Foundation, there was no established mechanism at the international level to mobilize financial resources specifically for housing and settlement development. Joining the Foundation with the office of human settlements would greatly strengthen the programme and operational capacities of the system as a whole.

28. To avoid duplication and conserve resources, alternative A proposes that the activities of the Foundation and the Centre for Housing, Building and Planning be consolidated under the single administrative unit of the office of human settlements. However, the Habitat and Human Settlements Foundation would retain its separate identity as the resource mobilizing organization agency, acting as the financial arm of the human settlement programme. Its funds would be earmarked for example as seed capital for pilot and demonstration projects and other appropriate investments identified as part of the technical assistance operations of the human settlement programme. Initially, and pending the reorganization of the over-all system, or until the level of funds and operations justified a separate provision, the administration of the Foundation would be entrusted to the United Nations which could provide the necessary supporting administrative and accounting services. The financial resources of the Foundation would be kept under a separate account, audited by the United Nations.

H. The role of agencies outside the United Nations system

29. It is widely recognized that the magnitude of the problem far exceeds the resources at present available in individual countries and within the international community. Even with a significantly strengthened and co-ordinated international programme for human settlements, along the lines described above, it is evident that many more resources must be brought to bear if substantial headway is to be made to deal with a problem of such magnitude. There is an additional and important source of technical ability, information and experience as well as physical and

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financial resources which is at present seriously under-utilized but which could, with appropriate leadership and co-ordination, be channelled to the areas of greatest need. This as yet untapped source would include the large number of national and non-governmental institutes, universities and other organizations specializing in one or more aspects of human settlement organizations in both developed and developing countries. It would include the following types of organizations:

- (a) Building and building materials research;
- (b) Physical, social and economic planning and research;
- (c) Finance and financial institutions;
- (d) Public administration;
- (e) Institutes of specialized training and education; and
- (f) Universities with relevant research and education programmes.

30. One way to maximize the impact of international co-operation would be for the United Nations system to provide leadership and some support in order to encourage a greater flow of resources through basic multilateral and bilateral programmes to developing countries, utilizing, as far as possible, local institutions in these countries and also joint programmes with comparable institutes in developing countries. Under such an approach, the office of human settlements, working together with the relevant specialized agencies (and their regional structures), could establish a network with a coherent frame of reference and set of objectives which would, in effect, amount to a global programme for the improvement of human settlements. The headquarters units of the participating United Nations organizations would act as central brokers, bringing together expertise, experience and resources, with the regional commissions supervising and co-ordinating the ongoing work in the respective regions.

I. The relationship with the regional development banks

31. In addition to the seed capital funds of the Habitat and Human Settlements Foundation, the programme would require access to international resources to supplement those which can be mobilized nationally. The recent policy statements of the International Bank for Reconstruction and Development, emphasizing the commitment to the alleviation of urban poverty, and of the Asian Development Bank, expressing an intention to expand its urban investment programme, illustrate the new recognition of the importance of human settlements. It is intended to establish working level relationships with the development banks and to draw them into the network of international agencies supporting the human settlement programme. This will be done at both global and regional levels. 1/

1/ The recent report prepared by the Centre entitled, "Criteria governing multilateral financing of housing and human settlements: Report of the Secretary-General" (A/10225) sheds further light on these possibilities. It is available as a reference document for the Conference.

J. Administration and budgetary implications of alternative A

32. For the execution of this programme, it is assumed that:

(a) All the supporting administrative services, including those related to the Foundation, would, at least initially, be provided by the United Nations;

(b) The activities at present carried out by the Centre for Housing, Building and Planning, those envisaged by the Foundation but not yet operational, and new functions added under the expanded programme would be carried out under a single administrative structure. Thus, activities related to policy formulation, programming and management, co-ordination, research, technical co-operation and dissemination of information would be unified; 2/

(c) As an initial step towards decentralizing activities under the programme, this proposal provides for the redeployment of resources to the regional commissions, in order to strengthen regional capacities for full participation in the programme envisaged in chapter IV;

(d) Overhead cost for the execution of the technical co-operation programmes, described in chapter IV of this report and to be financed out of voluntary contributions, would be charged to the respective projects, following UNDP practice. Thus, the number of technical co-operation field staff would be determined by the number of projects;

(e) Similarly, the appraisal of projects directed to the Foundation would be carried out by specially recruited experts, on a task-by-task basis, and financed as an element of each project.

33. The combined existing staff resources of the Centre for Housing, Building and Planning, the Department of Economic and Social Affairs, the regional commissions and the Habitat and Human Settlements Foundation are as follows:

2/ As pointed out previously, the identity of the Foundation would be preserved, and the Foundation retain all the functions related to financial services and the generation and disbursement of financial resources.

	Regular budget	Extrabudgetary	Total staff
Centre for Housing, Building and Planning	30	14 ^{3/}	44
Department of Economic and Social Affairs	8 ^{4/}	-	8
Regional economic commissions	13 ^{5/}	-	13
Habitat and Human Settlements Foundation	-	8 ^{6/}	8
TOTAL	51	22	73

To man the programme at central and regional levels would require approximately 95 Professional posts, plus corresponding secretarial services and modest provisions for consultants, travel, printing, supplies, etc.

34. If the 28 established posts for the Habitat and Human Settlements Foundation could be transferred to regular budget commitments, the available staff would be 80 Professionals. Thus, the additional professional requirements would be approximately 15 posts, to carry out the functions listed above. Eight of these posts would be required to expand the exchange-of-information activities now being carried out by the Centre for Housing, Building and Planning, so as to follow up the work of the Habitat Conference, and the remainder would be assigned to the regional commissions to supplement those redeployed. Taking the direct regular budget costs used in the 1976/1977 United Nations budget as a guide, total additional budget commitment for 15 Professionals and related secretarial staff would be about \$US 750,000 per year, with the bulk of the increase going to the regional commissions. The regional staff would be further increased, in subsequent years, by a gradual transfer of some of the research and technical co-operation activities and their resources and overhead costs, in accordance with UNDP practices.

35. It should be emphasized that the above represents the administrative and technical skeleton and that the implementation of the human settlements programme,

^{3/} This does not include the more than 300 technical experts working on various technical co-operation projects in developing countries who are supervised and supported by the Headquarters staff.

^{4/} Working in divisions other than the CHBP and available for redeployment.

^{5/} Staff assigned exclusively to human settlement work.

^{6/} Now being expanded to 14, out of establishment of 28 posts (UNEP/GC/36 and UNEP/GC/64).

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contained in chapter IV, would be financed from voluntary contributions. Thus, the above represents the resources that can be quantified at this stage to be financed by the regular budget of the United Nations. It is anticipated that there would be a four or fivefold increase in extrabudgetary activities and staffing.

36. This proposal represents the most efficient, effective and economical way of strengthening the United Nations commitment to human settlement improvement and development. Any other organizational structure would inevitably involve greater setting-up and operating costs, because of the need to duplicate support services already available within the Department of Economic and Social Affairs. The budget increase would be a minimum commitment permitting an impact to be made on the situation, so that the institutional and budgetary changes are complementary. Shifting of responsibilities between offices will have no substantive effect, unless the funds are provided to improve the programme.

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Annex II

INSTITUTIONAL ARRANGEMENTS FOR HUMAN SETTLEMENTS

A proposal submitted by the United Nations Environment Programme (alternative B)

I. INTRODUCTION

1. The major organizations within the United Nations system dealing with the various aspects of human settlement problems and policies may be identified briefly as follows:

(a) The United Nations Habitat and Human Settlements Foundation established as of 1 January 1975 by the General Assembly in accordance with its resolution 3327 (XXIX);

(b) The Centre for Housing, Building and Planning in the Department of Economic and Social Affairs;

(c) The Division of Economic and Social Programmes of the United Nations Environment Programme; and

(d) A number of units within the Department of Economic and Social Affairs dealing with related aspects of human settlement problems.

2. The proposed institutional arrangement under this alternative is to entrust one department within the United Nations Environment Programme with the functions of the Foundation, the relevant parts of the Division of Economic and Social Programmes of the United Nations Environment Programme and the Centre for Housing, Building and Planning of the Department of Economic and Social Affairs as well as those functions related to human settlements which are presently discharged by certain other units of that Department. It is proposed that this new department of the United Nations Environment Programme be called "human settlements programmes".

II. GUIDING CONCEPTS

3. The United Nations Conference on the Human Environment (Stockholm, June 1972) proclaimed that both aspects of man's environment, the natural and the man-made, were essential to his well-being and to the enjoyment of basic human rights, even the right to life itself. The first recommendation of the Conference emphasized that the planning, improvement and management of rural and urban settlements demanded an approach, at all levels, embracing every aspect of the human environment, both natural and man-made.

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4. Beginning with the recommendations of the Stockholm Conference and through successive resolutions and decisions of United Nations bodies, the international community has repeatedly emphasized that human settlements are an integral part of the human environment. The Governing Council of the United Nations Environment Programme at its first session accorded top priority to human settlement activities and approved an integrated approach to the problem of human settlements to ensure a more effective integration of the human settlement system in national and regional development. It was also recognized that human settlements were an ecosystem and that it was of primary importance to understand the interaction between this system and the larger ecosystem in which it found its nexus: only a proper understanding of that compound and dynamic relationship could bring about the sound planning, development and operation of human settlements.

5. It should further be recalled that the General Assembly resolution convening Habitat: United Nations Conference on Human Settlements at Vancouver in 1976 1/ and the establishment of the United Nations Habitat and Human Settlements Foundation as of 1 January 1975 2/ were the direct results of the recommendations of the United Nations Conference on the Human Environment. In deciding to establish the Foundation, the General Assembly explicitly recognized the organic link between United Nations activities in the fields of human settlements and the environment by designating the Governing Council of the United Nations Environment Programme as the governing body of the United Nations Habitat and Human Settlements Foundation.

6. The mandate of the Foundation, as approved by the General Assembly in its reference in resolution 3327 (XXIX) to Governing Council Decision 16A (II), covers the following:

(a) Facilitating the transfer of financial assistance to institutions and Governments from the Foundation's own and a broad spectrum of other sources, mobilized both internally and externally;

(b) Stimulating innovative approaches to pre-investment, pre-project and financing strategies for habitat and human settlement projects, drawing on accumulated practical experience in both the public and private sectors; and

(c) Organizing technical assistance services in human settlement and habitat management, including training and project development and promoting adaptation and transfer of appropriate scientific and technical knowledge in human settlement projects, with respect inter alia, to housing finance, housing finance policies, information systems and management.

7. In addition to its responsibility for executing activities funded from its own resources, the Foundation was envisaged by the Economic and Social Council in its resolution 1914 (LVII) to be an executing agency for the United Nations Development Programme assisted projects in the field of its own competence.

1/ Resolution 3001 (XXVII).

2/ Resolution 3327 (XXIX).

III. OBJECTIVES AND FUNCTIONS

8. The objectives and functions of the proposed department would primarily cover the general objectives and functions referred to in chapter III of this paper in addition to the specific functions assigned to the Centre for Housing, Building and Planning of the Department of Economic and Social Affairs, the human settlements section of the Division of Economic and Social Programmes of the United Nations Environment Programme and the United Nations Habitat and Human Settlements Foundation as well as any other new functions which might result from the Habitat Conference.

IV. ORGANIZATIONAL STRUCTURE

9. The proposals listed below are based on a clear understanding that any institutional arrangement recommended by the Habitat Conference would be meant to meet the criteria referred to in chapter V of this paper which are basically centered around the co-ordination of existing activities within and without the United Nations system: offering advice and assistance to Governments with respect to housing and housing finance policies, developing policies to ensure that human settlements are clearly integrated within development programmes which take full account of the enhancement of the environment and aim at establishing a better quality of life, as well as ensuring a good medium for exchange of information on human settlements. If the Governments decided at Vancouver on the establishment of a large fund to help finance the establishment of human settlements wherever needed, especially in the developing countries, the proposed institutional arrangements in this alternative would not meet the requirements. In that case, the United Nations Environment Programme would stick only to its policy guidance co-ordination role in the field of human settlements as part of its over-all responsibility in the field of the environment.

A. Intergovernmental arrangements

10. Bearing in mind the common profile described in chapter V, section B of this document, this alternative suggests the following detailed arrangements.

International level

11. The Governing Council of the United Nations Environment Programme, which is selected by the General Assembly, would itself be the governing body of the proposed institutional arrangement of human settlements. For this purpose the Governing Council would have at least one full session every two years to deal primarily with human settlement questions, i.e. policies, strategies and programmes. In the alternate year, it would deal with questions primarily relating to the natural environment. The report of the Council would continue to be submitted to the General Assembly through the Economic and Social Council.

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Regional level

12. At the regional level, Governments of each region might wish to consider establishing a regional committee of broad membership to deal with questions of human settlements. The reports of the regional committees would be submitted to the governing body of the regional commissions concerned and to the Governing Council of the United Nations Environment Programme at its session dealing with human settlements. It is suggested that a special division of the commission of each region serve as secretariat of the regional committees. The proposed department of human settlements programmes within the secretariat of the United Nations Environment Programme would assist the regional commissions in servicing the regional committees on human settlements and preparing necessary documentation. The basic advantage in establishing regional committees is to keep alive and strengthen the national committees established for the purpose of preparation for Habitat. These regional committees would also provide an important input for policies, strategies and programmes at the international level.

B. Secretariat arrangements

International level

13. As mentioned earlier, the proposed institution for handling all United Nations activities relating to human settlements (other than those of the specialized agencies) would be a department to be called department of human settlements programmes within the United Nations Environment Programme. The Executive Director of the United Nations Environment Programme, under the authority and guidance of its Governing Council, would be responsible for the administration and operations of the proposed department. While the Executive Director would retain his ultimate responsibility in regard to the proposed department, a deputy executive director at the ASG level would be appointed by the Executive Director, in consultation with the Secretary-General, to have the primary responsibility of running the proposed department.

14. The proposed department of human settlements programmes of the United Nations Environment Programme would thus consist of the following components:

(a) The Office of the Executive Director of the United Nations Environment Programme;

(b) A policy planning information unit based on Division III of the Programme and located at Nairobi under the supervision of a deputy executive director at the level of Assistant Secretary-General. Certain technical assistance and training activities would be part of this central policy making unit;

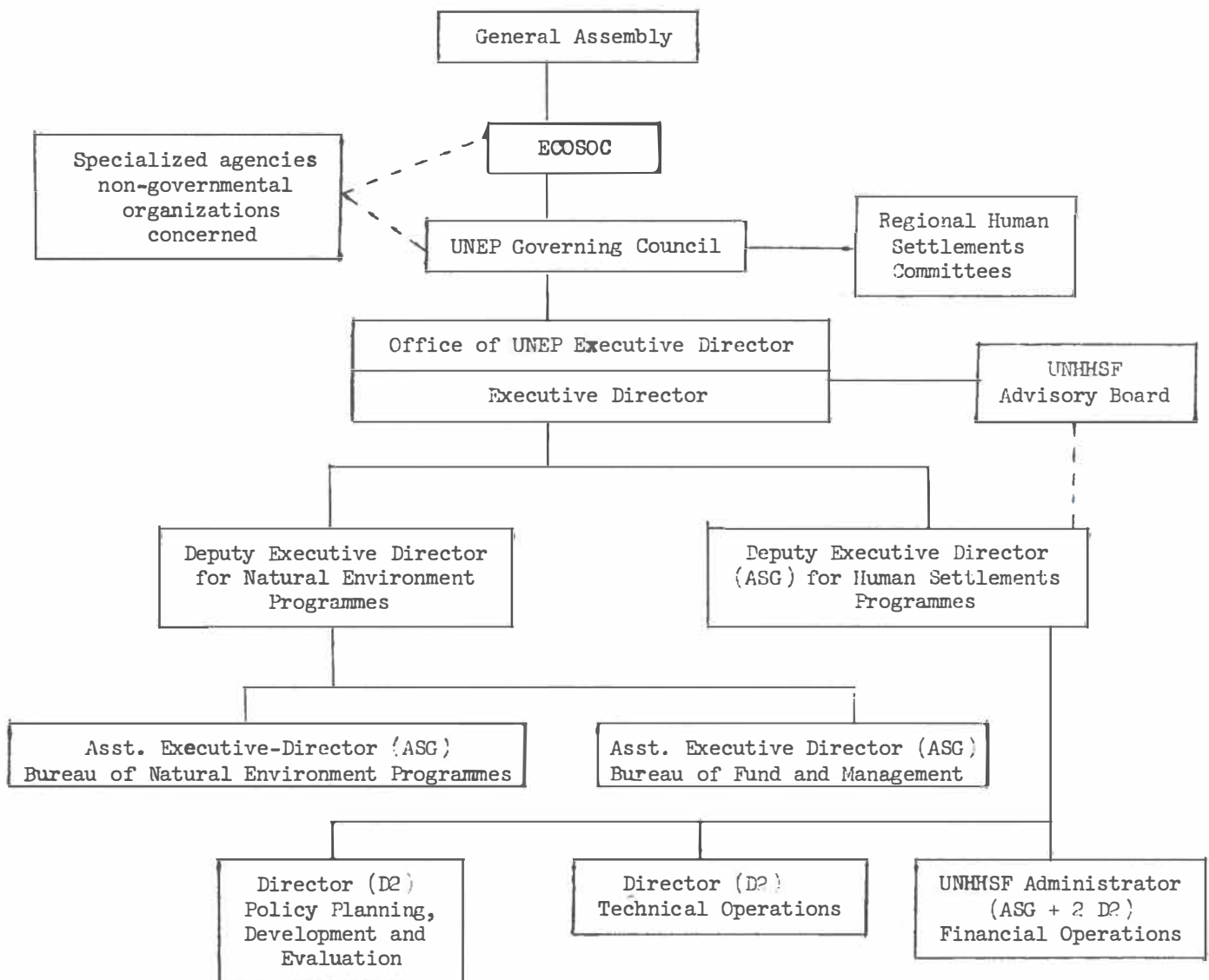
(c) The United Nations Habitat and Human Settlements Foundation, under the guidance of an administrator, at the level of ASG, to deal with seed money and certain other operations assigned to it by the General Assembly. The financial operations of the Foundation would be located at an appropriate financial centre; and

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(d) A technical arm to carry out operational activities incorporating many of the current duties and responsibilities of the Centre for Housing, Building and Planning and located at Nairobi or New York under a director.

15. The implications of the proposed department on the existing organizational structure of the United Nations Environment Programme would be as follows:

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NOTE: UNHHSF - United Nations Habitat and Human Settlements Foundation.

Regional level

16. In the course of preparation for the Habitat Conference it was emphasized at the regional preparatory, as well as at the sessions of the Preparatory Committee, that the regional commissions should have a significant role in the implementation of regional and country programmes in the field of human settlements. It was also recognized that the capacity of the regional commissions should be enhanced to enable them to carry out the task envisaged. It is therefore suggested that, under the proposed alternative institutional arrangements, the regional commissions should be entrusted to the extent of their capacity with the implementation of regional and country programmes. Regional commissions would be entitled to the agency overhead costs at the prevailing rates to improve their capacity in undertaking this task. In addition, however, further appropriations, other than from the regular budget of the United Nations, should be made available to the regional commissions to strengthen existing units and further to promote regional co-operation in this field. It is not the intention under the proposed arrangement to establish new regional offices of the United Nations Environment Programme but to use existing capacities and enhance them as required. A further means of involving the regional commissions would be by inviting the executive secretaries to participate in the meeting of the United Nations Habitat and Human Settlements Foundation Advisory Board.

V. BUDGETARY IMPLICATIONS OF THE PROPOSED
INSTITUTIONAL ARRANGEMENTS

17. As of now, the approved manning table of the United Nations Habitat and Human Settlements Foundation has the following senior posts: one ASG, two D2s and three D1s; that of the Centre for Housing, Building and Planning has one D2 and two D1s and the Division of Economic and Social Programmes of the United Nations Environment Programme has one D1. Thus the three units comprising the proposed institution together have one ASG, three D2s and six D1s. At present these posts are financed partly from the regular budget and partly from voluntary funds.

18. The proposed institutional arrangements would require two ASGs, four D2s and about seven D1s. Economy is likely to be achieved through improved efficiency with more or less the same level of staff handling a much larger programme of activities. As to the sources of funding of these posts, there are various options which Governments may decide upon:

(a) Financing most of the executive posts from the regular budget;

(b) Using the existing diversity of sources; or

(c) Financing all posts from voluntary contributions, namely the United Nations Habitat and Human Settlements Foundation, the Environment Fund and agency overhead costs.

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VI. FINANCIAL RESOURCES

19. The human settlement programmes, including technical and financial operations, would be funded primarily from voluntary contributions to the Foundation as well as other resources which might be available to it. The United Nations Development Programme and Environment Fund are expected to finance activities in the field of human settlements at the present level of financing and with the normal rate of growth.

VII. INTERAGENCY CO-ORDINATION

20. Although the proposed institution would help in reducing the need for co-ordination machinery in the United Nations, there is still need to co-ordinate at the level of the United Nations system. A sub-committee of the environment co-ordination board might be the appropriate forum for co-ordination of programmes of various United Nations bodies in the field of human settlements. Such a sub-committee would report to the Environment Co-ordination Board (ECB) and hence to the Administrative Committee on Co-ordination (ACC) within whose context and under whose auspices the ECB was established by the General Assembly.

VIII. SUMMARY AND CONCLUSIONS

21. The basic position is that human settlements are an essential part of the human environment and should be considered in that context. If this position continues to be accepted, then it becomes expedient and necessary to ensure that any new institutional arrangements arising out of the Vancouver Conference be located in close proximity and direct linkage to the structure of the United Nations Environment Programme. The fact of the matter is that the different activities carried out by the Programme under the various budget lines, as approved by the Governing Council, are closely related to human settlement issues, objectives and strategies, and an artificial separation of human settlements from the totality of human environment activities could hamper the development of the necessary integrated approach in dealing with the human environment, natural and man-made.