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Item 3 on the provisional agenda

Statement of principles and commitments and global plan of action

**DRAFT STATEMENT OF PRINCIPLES AND COMMITMENTS
AND GLOBAL PLAN OF ACTION**

Report of the Secretary-General

SUMMARY

1. This document presents a draft of the Global Plan of Action (GPA) and the Statement of Principles and Commitments which will guide national and international action on human settlements for the coming two decades. As directed by the Preparatory Committee in the report from its first substantive session, the principles and commitments are integrated into the GPA [Para 33 (c)].
2. In the urbanizing world of the late 20th century, fundamental changes in human habitat are taking place that call into question the capabilities and methods of traditional, centralized institutions -- how they perceive problems, how they set priorities, and how they generate and allocate resources in the public interest. While the GPA will offer a general contextual overview of substantive settlements and shelter issues, highlighting and addressing those of greatest urgency, the draft GPA is neither an encyclopaedia of such problems nor a compendium of substantive programmes. The GPA is about commitment to process.
3. The underlying premise of the draft GPA is that a new institutional strategy -- one of enablement -- is needed to cope with humanity's new habitat, the city. Enablement means modifying processes to create the conditions for women and men, equally -- as individuals and as members of key groups -- to exercise their rights and responsibilities and to engage their abilities in activities that equitably improve and sustain their living environments. This implies, first and foremost, a commitment by governments to enhance their own knowledge of issues and their own willingness and ability to enable citizens to become effectively engaged in development processes. The GPA will also contain commitments by other key groups to help implement the objectives of the enabling strategy. Participation, training, research, technology transfer, and policy development are among the

key processes that make up the strategy of enablement and which cross all sectors and substantive programmes. These are the first targets for action in the global plan.

4. In response to recommendations in the same report [Paras 33 - 46], the present draft of the GPA was "formulated through the dynamic of two-way communication among global, regional and national levels." First, a structural framework for the GPA was developed that incorporated substantive and procedural directives from the General Assembly, the Preparatory Committee, and the Commission on Human Settlements. Second, professional staff of UNCHS (Habitat) was engaged in an interactive process of formulating the guidelines which allowed the secretariat to unify the elements of the GPA. Third, a Habitat Advisory Panel (HAP) of over 300 experts, political leaders and agency heads from around the world was asked to review and comment on the design guidelines. Feedback from the HAP was incorporated into subsequent versions of the guidelines, which appear as Annex A to this document.

5. The guidelines, resulting from communication with the international panel, are explicit in their attention to principles and strategy, making them consistent with directives from the Preparatory Committee report. Again, using UNCHS (Habitat) staff responses to preliminary statements of principles and strategy, a draft of these elements was formulated. The result was a proposed set of three principles -- civic engagement, sustainability, and equity -- and the overall strategy of enablement.

6. The enablement strategy is composed of twelve strategic objectives, each of which was reformulated as a set of commitments by governments. Thus, there are twelve commitments by which governments will implement the enablement strategy. The principles, strategy, and commitments were circulated to the HAP for review and comment. Feedback was incorporated into the present draft. During 1995, other key groups will be asked to formulate their own commitments consistent with the strategic objectives of the enablement strategy.

7. The enablement and priority substantive programmes which will help attain the strategic objectives are being informed and elaborated through a discovery process that will continue up to the third substantive session of the Preparatory Committee in early 1996. The sources of discovery, including, *inter alia*, the four major reviews, a variety of global workshops and seminars, international agency programmes and declarations, and national preparatory processes, are listed in Annex B to the present report. Programmes of Agenda 21 and those proposed by the Commission on Human Settlements and the Preparatory Committee are also to be considered.

8. Recognizing that the process of elaborating the GPA is ongoing and participatory and will continue until the third substantive session of the Preparatory Committee, it is important that the Preparatory Committee, at its second substantive session, consider and decide on the following:

- (a) That the principles, enabling strategy, strategic objectives and associated government commitments, as presented herein, are appropriate and responsive to previous directives;
- (b) That commitments, complementary to those proposed for governments, should be developed during 1995 by other groups of key actors, including sub-national governments, various categories of NGOs, scientific/academic associations, and the business community;
- (c) That a priority set of cross-sectoral enablement programmes be identified and formulated, each with the following contents: policy goals; statements on priority issues; a menu of strategies and activities; a time-frame for action; proposed local national responsibilities; associated targets and indicators for monitoring; and, if possible, modular costing of programme components; *+ auditing*
- (d) That a set of high priority substantive programmes be similarly selected and formulated;
- (e) That a set of supportive global and regional programmes, detailing priority actions, be derived from analysis and integration of priorities as expressed in national enablement and substantive programmes;
- (f) That the secretariat and other UN organizations and agencies, other international agencies, development banks, governments and NGOs focus their resources during the first three quarters of 1995 on formulating the details of enablement, substantive and other support programmes that will subsequently be included in the GPA;
- (g) That the coordinative and planning processes for the GPA and the national preparatory processes for Habitat II represent "Best Practices" in development planning and should be continued beyond the Conference.

HABITAT II

**The United Nations
Conference on Human Settlements
Istanbul, 3 - 14 June 1996**



The Global Plan of Action

DRAFT

(Revision 3)

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HABITAT II

GLOBAL PLAN OF ACTION

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Prologue 30 - 60 minute Video

NB In keeping with the mandate to employ various and effective communication technologies, the secretariat will produce in 1995 a 30 - 60 minute broadcast-quality video which will provide a composite, positive vision of what settlements and shelter around the world could be like, based on current best practices in implementing a strategy of enablement. The video will then be packaged with the Global Plan of Action (GPA) as a presentation of the visual image of what the GPA is trying to achieve to improve people's living environments and how that goal may be accomplished.

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- Annex A : Guidelines for Design of the Global Plan of Action
- Annex B : Key Issues: Sources
- Annex C : Programme Design Matrix 1: Enablement Programmes
- Annex D : Programme Design Matrix 2: Substantive Programmes

PREAMBLE

***"Human beings are at the centre of concerns for sustainable development. They are entitled to a healthy and productive life in harmony with nature."*¹**

Principle 1 from the *Rio Declaration on Environment and Development*; recommended as the overall principle in the Global Plan of Action for Habitat II by the Preparatory Committee for the United Nations Conference on Human Settlements (Habitat II) at its first substantive session, held in Geneva in April, 1994.

"To increase the world awareness of the problems and potentials of human settlements -- as important inputs to social progress and economic growth -- and to commit the world's leaders to making cities, towns and villages healthy, safe, just and sustainable."

Proposed as the overall objective to serve as a guiding principle for all countries for Habitat II; recommended by the Preparatory Committee for the United Nations Conference on Human Settlements (Habitat II) at its first substantive session, held in Geneva in April, 1994.

"The overall human settlement objective is to improve the social, economic and environmental quality of human settlements and the living and working environments of all people, in particular the urban and rural poor."

As expressed in Chapter 7 of *Agenda 21*; proposed as the basis for the main objective of the Global Plan of Action for Habitat II by the Preparatory Committee for the United Nations Conference on Human Settlements (Habitat II) at its first substantive session, held in Geneva in April 1994.

In recommending these three guidelines, the Preparatory Committee for the United Nations Conference on Human Settlements intends that people, especially the poor, be the focus of Habitat II. Clearly acknowledged in these recommendations are the importance of settlements (cities, towns, and villages) for social progress and for economic growth and the importance of governance and leadership in improving people's living environments .

The Global Plan of Action (GPA), accordingly, focuses on people in their settlements and on the commitments by which leaders of government and non-governmental organizations pledge to enable all people -- women and men equally -- to improve their living environments. Because the GPA will be informed by national plans of action, which are to be based on an enabling strategy (as recommended by the Preparatory Committee), the GPA will itself serve to promote the strategy of enablement among all countries, helping governments to create the conditions for women and men, as individuals and as members of groups, to exercise their rights and responsibilities; and to engage their abilities effectively in activities that will equitably improve and sustain their living environments.

¹ **Development**, in the context of the preamble to the *Charter of the United Nations*, is defined as the "[promotion of] social progress and better standards of life in larger freedom" The modern phrase most closely associated with this meaning of development is "improved quality of life." Sustainable development would therefore include, among other aspects of a better quality of life, the prospect of progress in improving people's living environments -- the central concern of Habitat II.

In view of this approach, the purposes of the Global Plan of Action are:

1. to **sensitize leaders** in government and non-governmental organizations to the enabling strategy;
2. to **normalize an enabling strategy** for settlements and shelter development throughout countries of the world;
3. to **organize international support** to countries implementing an enabling strategy; and
4. to **gain global understanding and acceptance of the principles** upon which the enabling strategy is based.

These principles are only three -- civic engagement, sustainability, and equity. Fully capable of being translated into action in a variety of cultural and political contexts, the principles are neither abstract nor beyond reach. Civic engagement implies that living together is not just a passive exercise; in settlements, people must contribute actively to the common good, both directly and through their representatives. Sustainability is a measure of adaptability and depends upon people working together to modify their own behavior and their institutions as they face environmental, social and economic opportunities and constraints. Equity is the application of fairness in the allocation of resources to meet the basic needs of all people; applied equity helps to create solidarity, warding off the social unrest and entropy (degradation and disorganization) that are becoming hallmarks of many settlements in both the developed and developing worlds. This combination of principles provides a basis for new thinking about humanity's second habitat -- the city.

City life, of course, has existed for several millennia as part of human society, generally within the larger framework of rural life. But in the last decade of the twentieth century, as the world approaches a symbolic milestone where half its population will reside in urban areas, there is an urgent need to re-examine the city, the largest and most dynamic of all human settlements, in order to make it a more humane environment.

For most of human history, the city, as a special habitat for a relatively limited number of people, has been a controllable, even designable, environment. Recognized as the engine of development, the city has economic and cultural functions that make it both efficient and attractive. Providing markets for and adding value to rural products, the city has grown to house a mass of interrelated processing and service activities that require resources from far beyond its boundaries. These resources include labor, which has traditionally moved to where jobs can be found. Thus, the city as producer, market, and service provider continued to grow, limited historically by transport and communication technology. In recent decades, even those limits have been removed with the advent and diffusion of industrial technologies and the global movement of people, goods and services. Cities in the last half of the twentieth century, and for the first time in all of human history, are growing without apparent limit to become "mega-cities" and "urban agglomerations."

Faced with the challenge of unbridled urbanization, traditional institutions have not performed well in creating the sustainable urban society. The city resident's attitude toward the environment and natural resources lacks a personal acceptance of responsibility and husbandry. Obligations to strangers, a concord of manners made necessary by the dense interactions of city life, are not readily internalized. Politics nourish factionalism rather than plurality. Crime, corruption, disease, pollution, stress, unemployment and myriad other problems now form the backdrop to city life, a dark image held by the people and their leaders in both developing and developed countries.

If social and economic development means progress in improving peoples' living environments and in improving the quality of life for all women and men, and if the city is the engine of development, then the malfunctioning, advancing degradation and the disorganization of cities in both the developed and developing worlds suggests a new third world -- the undeveloping world. Countries in this new world -- countries in the North as well as the South -- exhibit cities that are becoming less efficient as markets and producers; cities that are becoming less humane and attractive; faction-ridden cities that disrupt national cohesion and solidarity; cities that drain national resources to cope with chronic problems; cities where people are mistrustful of one another and insecure; and cities that are marketed as commodities not communities. If such a new third world is to be averted, if gains in the quality of life for all are not to be lost, settlements -- and especially cities -- must be made to work.

It is the fundamental premise of the Habitat II Global Plan of Action that a new urban ethic is needed, one to which all people in an urbanizing world may subscribe.

Such an ethic can evolve only from an enabling strategy, where leaders and representatives actively engage all women and men -- especially the excluded, the vulnerable, and disenfranchised -- to work with government at all levels, with the private sector, with non-governmental organizations, and with each other to determine the collective future they want, to decide on priorities for action, to identify and allocate the necessary resources, to build partnerships to achieve common goals, and to ensure that goals are consistent with basic principles.

The principles of civic engagement, sustainability, and equity support the strategy of enablement, calling for self-examination and responsible action by those who are most affected and who can contribute most to making the city work -- the people who live there. The enabling strategy is one that can foster urban virtues, where people, through exemplary governance and leadership, cooperate to remake their cities into a new habitat for humanity.

CHAPTER 1

KEY ISSUES

NB This chapter is to be developed during 1995. Key issues will derive from the various reviews now being undertaken through national, regional and global preparatory processes and from a variety of other sources. There are, however, a number of current settlements and shelter issues which have already been proposed for attention by the Global Plan of Action. Trends related to these issues are being examined for their relative importance and prospective dimensions, factors which will help to focus national and international activities for settlements and shelter development. These factors will emerge from a synthesis of sources (as listed in Annex B) and promise to define not only substantive issues but the processes necessary for effective improvement of living environments over time.

Because of the recurring emphasis on several multi-sectoral substantive issues, the formulation of goals, measurable objectives and implementing activities for these issues has already begun and will continue through the third quarter of 1995. Scale of development is important to the identification of priority issues and to the selection of appropriate methods and tools. Substantive issues may be vocalized in at least two scales: the more intimate neighborhood and community, where a strategy of enablement can assist people to do much to facilitate the effective provision of jobs, shelter and services; and the larger city and encompassing urban region which requires effective and responsive institutional structures and better coordinative management skills for setting priorities, allocating resources, and synthesizing multiple objectives.

If the Global Plan of Action, however, is to be more than an encyclopaedia of settlements and shelter issues or a compendium of all possible substantive programmes, it must focus on process. Participation, training, research, technology transfer, and policy development are among the key processes that cross all sectors and substantive programmes. While the GPA will offer a general contextual overview of substantive issues, highlighting those of greatest urgency and priority as proposed programmes, it will be the Plan's focus on enablement – responding to the need for people-centred processes – that will provide the GPA with strength and continuing relevance in a rapidly urbanizing world.¹⁰ The principles and their elaboration, in the next chapter, provide the rational underpinning for governments and others to commit themselves to the processes that constitute the strategy of enablement.

Multi-regions

CHAPTER 2

PRINCIPLES

Civic engagement, sustainability, and equity are three principles which will improve living environments. These three principles are consonant with Principle 1 from the Rio Declaration -- that human beings are at the centre of concerns for sustainable development.

Civic engagement stresses that all women and men have basic rights but must also accept an obligation to protect the rights of others and to contribute actively to the common good. Without a sense of civic engagement, settlements lose their social cohesion, requiring ever greater inputs for their development.²

Sustainability holds that social and economic patterns either hinder or drive progress toward improved quality of life. Patterns of production and consumption that over-tax environmental carrying capacities, for example, may eventually bring about major systemic failures. Patterns of social and political behavior that regularly expropriate public resources for non-public purposes may also threaten the quality of life for all. It is the modification of patterns in anticipation of constraints and opportunities that will determine the degree of sustainability.

Equity argues that, if their basic needs are met with fairness, each woman and man regardless of ethnicity, race, religion, political, or other preference will feel more able and secure, being freed to contribute to the community and to honor the rights of others. Continued injustice and exclusion can breed selfish, antisocial, and counterproductive behavior, which eventually destroys the civic spirit.

These three principles, as elaborated below, are the foundation for the Global Plan of Action and provide the basis for the strategy of enablement. Other, more specific principles may be articulated as policy goals and objectives within programme areas.

² *Civic engagement* is the active mode of the citizen -- the acts of citizenship. The English word *city* derives from the Latin *civitas*, citizenship, which itself comes from the Latin *civis*, a citizen. The words *civil* and *civilization* derive from the Latin *civilis*, pertaining to a citizen, which also comes from the Latin *civis*, as does the English word *civic*. In common usage today, *citizen* most often connotes a member of a state or country. It is, however, in its traditional meaning, as the rights and responsibilities of a native or inhabitant of a town or city, that citizenship becomes important to the Global Plan of Action. The etymology of the word suggests that the quality of the town or city is defined by how people act toward one another.

A. The Principle of Civic Engagement

1. Civic engagement means agreeing on a common code of ethics.
Ethics (shared rules of conduct) have the power to create solidarity (i.e., a mutual dependence and community of interests, feelings and actions); institutions that encourage ethical behavior must be strengthened.
2. Civic engagement means understanding and exercising one's rights and protecting the rights of others.
Women and men must be empowered to achieve their full potential, to participate in decisions affecting their future and to help others to do the same; basic rights that empower people to look beyond their own needs must be guaranteed.
3. Civic engagement means understanding and acting on one's responsibilities to the community.
People must adopt and internalize a sense of obligation toward others and accept responsibility for their own living environments; institutions that reinforce the sense of responsibility must be strengthened.
4. Civic engagement means maintaining a spirit of solidarity.
All people in a community are interdependent and thus have a social contract to assist one another, helping vulnerable and disenfranchised groups to improve their living environments; public and private barriers that deny individuals or groups their basic rights must be eradicated and cooperative mechanisms must be strengthened.
5. Civic engagement means maintaining a sense of hope.
Settlements must hold the promise of a better life for all in order to maintain a positive and forward-looking attitude among all people; exclusionary attitudes and institutions must be eradicated.
6. Government is a key instrument for facilitating civic engagement.
Good governance helps people to understand and exercise their rights and responsibilities through leadership, open and efficient participatory processes, education, information dissemination and communication; capacity in these areas must be strengthened.

B. The Principle of Sustainability

1. The sustainable settlement plays a continuing role in national economic development.
Settlements without a macro-economic function will tend to wither away; national economic planning must build on local comparative advantages and support productive linkages among settlements.
2. The sustainable settlement is in balance with nature.
The resources which a settlement consumes define its limits in space and time; the carrying capacity of resources must be considered in development decisions through a process of long-term planning.

3. The sustainable settlement offers the opportunity for all women and men to respond to the effective demand for their labor and to achieve a higher level of personal well-being.
A satisfied work force, made flexible and adaptable through training and education, is essential to a sustainable economy; as knowledge and skill are keys to unlocking human potential, institutions for education and training, including mass media, must be strengthened.
4. The sustainable settlement ensures the health and security of its citizens.
Disease, poverty, threat of disaster, crime and uncertainty foster selfishness and a concern for the present that are antithetical to sustainability; adequate, protective social infrastructure must be available to all people.
5. The sustainable settlement ensures that debt does not place an inequitable burden on future generations.
Assumption of debt, as capital investment, for example, can benefit future generations; it can also restrict future options unfairly; expenditure of financial, social, human and environmental resources must be carefully planned and budgeted to retain future development options.
6. The sustainable settlement incorporates planning and monitoring in its management functions.
Without planning and monitoring, sustainability can neither be defined nor measured; these functions must be strengthened at all levels.

C. The Principle of Equity

1. The equitable settlement is governed for all people with transparency and accountability.
Governments exercise authority and use resources for purposes agreed upon by citizens directly or through their representatives; use of public resources and authority without such agreements promotes alienation; governments must openly seek concordance among all citizens on goals and priorities for resource allocation.
2. The equitable settlement provides access to shelter and basic services for all people.
These are rights of each person, whether rich or poor, man or woman, healthy or disabled; all people must work with their governments to ensure those rights.
3. The equitable settlement provides for the mobility of, and communication between, all people.
People who cannot move around within the city or communicate with one another cannot fully exercise their rights or responsibilities; affordable transport and communication must be made available to all.
4. The equitable settlement provides opportunities for all women and men to earn a productive living.
An equitable return on work performed is the means that allows people to exercise their rights and to meet their obligations; ensuring an adequate livelihood for each woman and man must be one of the highest priorities.

5. The equitable settlement provides for the physical and mental health and for the security of all people.
These are basic needs which must be met with fairness if people are to be freed to exercise their rights and responsibilities; adequate health and public safety services for all must be among the highest priorities.
6. The equitable settlement ensures that the voices of all women and men are heard in decision-making processes.
Any person should be able to participate in the decisions that affect that person's future; effective participatory mechanisms must be employed at all levels and pertinent information must be communicated regularly and fully for effective participation of all citizens.
7. The equitable settlement cares for its vulnerable people.
Equity is a social contract among all people to provide for one another's basic needs; children, the disabled, the elderly and other vulnerable people will be cared for through individual relationships, families, community-based organizations, non-governmental organizations, and governments; such institutions and mechanisms must be supported as a matter of priority.
8. The equitable settlement does not consume resources without paying for them.
Whether resources belong to its own citizens or to those of a distant place, true costs must be borne fairly by the city's producers and consumers through application of proper pricing policies and accounting systems.
9. The equitable settlement provides education and training and enables the cultural development of all citizens.
Full human potential is realized through learning and through cultural expression; development of one's mind and means for self-expression is a distinctly human attribute best realized in the settlement; education and the means for cultural expression must be accessible to all people.

CHAPTER 3

STRATEGY

A. The Strategy of Enablement

1. The strategy of the Global Plan of Action is that of **enablement**: creating the conditions for women and men -- as individuals and as members of key groups -- to exercise their rights and responsibilities and to engage their abilities effectively in activities that will equitably improve and sustain their living environments.

Enablement means: ensuring that opportunities and mechanisms for people to participate in decision-making processes exist at all levels; assisting individuals and groups to form effective partnerships; instilling a strong sense of public service among government leaders and managers; guaranteeing accountability, openness and transparency in decision-making processes; enhancing governments' guidance responsibilities; strengthening government's responsibility to ameliorate, or improve, conditions; building leadership and management capacity; increasing the responsiveness of key groups to community needs; removing non-essential barriers to action; educating people to use information effectively; generating, disseminating and communicating accurate and timely information; and ensuring consistency and coordination through adoption of government policies and programmes that embody the spirit of enablement.

B. Strategic Objectives

1. It is a strategic objective to increase participation of all women and men in the development process.
Consultations among, and participation of, all key actors, beginning at the community level and extending to the national and international levels, are essential to setting priorities, formulating effective settlements and shelter objectives, and in implementing programmes of action at all levels; each level of the process will instruct and inspire the other levels.
2. It is a strategic objective to encourage building of partnerships among individuals and key groups.
Partnerships have the ability to integrate mutually supportive objectives of participants through, inter alia, forming alliances, pooling resources, sharing knowledge, contributing skills, and capitalizing on comparative advantages.
3. It is a strategic objective to instil a strong sense of public service in government leadership and management.
The behavior of persons in positions of responsibility and authority provides a model for the rest of a community; unless leaders and managers internalize a spirit of service to all people and follow a code of ethical conduct, government will be viewed with suspicion and cynicism .
4. It is a strategic objective to institutionalize accountability in decision-making and in allocation of resources.
Transparency of decision-making and management requires that financial accounting systems and programme budgeting systems be in place and are audited regularly and openly by independent authorities; elimination of corrupt practices can ensure that public resources are used for public purposes and achieve intended results.

5. It is a strategic objective to enhance governments' guidance role.
Government should provide support to people and their partnerships by, inter alia: identifying and integrating normative ideas and values; establishing equitable and clear policies, standards, rules and regulations; and by encouraging open generation and two-way communication between citizens and government in decision-making processes.
6. It is a strategic objective to strengthen governments' amelioration role.
Government should provide relief from unhealthy, unsafe, and unfair conditions by, inter alia: offering targeted technical assistance and resource redistribution based on an open legislative and administrative processes; by mediating and adjudicating disputes without bias; by fairly enforcing standards, rules and regulations; by offering safety nets to victims of disaster, vulnerable groups, and others who may be affected adversely by circumstance.
7. It is a strategic objective to build capacity for leadership, management, and operations at all levels (international, national, regional, state, provincial, metropolitan, local and community).
Effective leadership, management and operations require the capability at each level: to express a vision of the future to which all women and men may subscribe; to identify priorities; to build consensus on action strategies and policies; to mobilize and allocate resources efficiently; to coordinate and regulate related activities for the public good; to monitor progress toward priority objectives; to identify capacity constraints and implement capacity-building programmes; and to understand and apply appropriate methods and technologies.
8. It is a strategic objective to increase the responsiveness of institutions and key groups to the needs of people.
Devolution of certain responsibilities and authorities to the appropriate level, among other institutional changes, may facilitate the enabling strategy; NGOs and CBOs can help identify and sensitize governments to the needs of local communities and vulnerable groups; the private sector can, in appropriate circumstances, be more responsive to people's needs than can government; research and technical cooperation organizations can help build response capacity.
9. It is a strategic objective to eliminate barriers to effective mobilization and use of human, technical, institutional and financial resources at all levels.
Some public policies and private actions may have an exclusionary intent or may encourage discriminatory behavior; other policies and actions, in apparently unrelated areas, may inadvertently place barriers in the way of people to exercise their responsibilities and rights; an enabling strategy would help eradicate barriers that serve to exclude people from opportunities and resources.
10. It is a strategic objective to achieve universal literacy and general education.
Generation, communication, analysis of, and response to, facts, ideas and opinions is the basis for effective participation and cooperation; in large, densely populated societies, expression and understanding of the written word is the key to civic engagement and enablement; the literate and educated person is better able to use and analyze facts and ideas for improving living environments for all.

11. It is a strategic objective to ensure that all people can obtain accurate and relevant information in the development process.

Effective participation requires that: information related to development decisions be open and accessible to all; mass media be encouraged to report objectively both facts and opinions on development subjects; affordable communication systems be extended to all; management information systems, including an analytic capacity, be established and supported; and indicators of the most relevant conditions and trends be monitored and reported regularly to inform decision-makers and all community members of emergent problems and of progress toward meeting objectives.

12. It is a strategic objective to adopt policies and programmes to implement the strategy of enablement.

To provide the logic and rationale for decision-making and to coordinate the bases for decisions, mutually consistent settlements and shelter policies must be adopted; programmes, especially multi-sectoral programmes help to organize activities and allocate resources around related objectives.

CHAPTER 4

COMMITMENTS

An enabling strategy requires commitments by all key actors to create conditions that promote social and economic development of settlements and shelter based on the principles of civic engagement, sustainability and equity. Each level of government, each non-governmental organization (NGO) and community-based organization (CBO), each professional association, each corporation and business, each academic and research institution, each journalistic society and, in fact, each individual must commit themselves -- each in their own way -- to the strategic objectives of an enabling strategy. The Global Plan of Action is the mechanism for encouraging and integrating such commitments.

***NB** Because national governments form the membership of the United Nations, it is incumbent upon the Habitat II secretariat to draft a set of common commitments ascribed to governments in pursuit of enablement. During 1995, government commitments will be augmented by commitments from other key groups and organizations to form the basis for partnerships in improving people's living environments.*

A. Commitments by Governments

Governments, as subscribers to this plan of action, pledge to improve the living environments of all people -- women and men, equally -- through a strategy of enablement. Government, standing for the body politic, has a special role and obligation in this regard. Government holds much of the power, responsibility, resources, and authority that must be shared and delegated if enablement is to work. Government is a key instrument in facilitating **civic engagement** through its support to participatory processes and partnerships, universal education, information collection and communication. Through its planning, policy-setting, law-making, revenue raising, management and regulatory functions, as well as through its functions as facilitator, arbitrator, and adjudicator, government also plays a major role in determining the **sustainability** of development of the human habitat. While the concept of **equity** must reside as part of the civic spirit shared by all citizens, it is government, through leadership, that can establish the norms, encouraging and enabling individuals to see beyond their own needs to those of others. In enabling equitable and sustainable development, government mediates competing claims for scarce resources. It is also part of the enabling strategy that governments, to play their role effectively, devolve certain responsibilities and authorities to other actors which can, with proper support and guidance, be directly responsive to the needs of citizens.

Governments now make the commitment to:

1. Create the conditions for all women and men to exercise their rights and responsibilities through effective **participation** in settlements and shelter development decisions;
 - (a) Governments will involve citizens in all key decisions on development.
Sustainable and equitable development requires that the needs and interests of citizens be addressed, that priorities of citizens be identified through participatory processes, and that citizens be continually consulted on actions that affect them.
 - (b) Governments will work with all citizens in defining mutual rights and responsibilities and in safeguarding the opportunity for their appropriate expression in the development process.
As citizenship is a social contract among all members of a community, so all members must understand their rights and responsibilities and help to maintain the social, institutional, legal, informational and communication mechanisms for the application of those rights and responsibilities.
 - (c) Governments will ensure that women, their abilities, concerns and interests, are integrated equally with men into all participatory processes.
Gender does make a difference in development, especially in the implementation of an enabling strategy; reproductive and child-rearing responsibilities must be shared fairly between men and women; the productive contribution of women in development must be actively tapped; and the institutional conditions that exclude women from participating must be eradicated.
 - (d) Governments will ensure the means for participation by young people in the development process.
Participation in local decision-making and personal contribution to community should become an instinctive part of citizenship; a strong sense of civic engagement must be developed early in one's life through meaningful participatory processes.
 - (e) Governments will ensure access by vulnerable groups to adequate resources and to the decision-making process.
Vulnerable groups may, by definition, be extraordinarily affected in circumstances where others are not; the special needs of members of these groups must be actively sought and explicitly addressed in all settlements and shelter programmes.
 - (f) Governments will support participatory goal-setting and planning processes as the basis for development programmes.
All citizens must be engaged in an interactive consultative processes to identify settlements and shelter problems and opportunities and to establish goals and priorities for development and for equitable resource allocation.
2. Support the formation and building of **partnerships** among individuals, authorities and key groups in order to enhance the effectiveness of participation in the development process;
 - (a) Governments will encourage the formation and building of objective-oriented partnerships at all levels and will integrate them into the institutions for

decision-making in order to increase the effectiveness of participation in development.

Partnerships among individuals, communities, NGOs, the private sector, academia and others have the ability to multiply the effectiveness of each partner through, inter alia, forming alliances, pooling resources, sharing knowledge, contributing skills, and capitalizing on comparative advantages; partnerships are most effective when organized around specific problems or challenges; government should support those partnerships that promise to serve the public interest.

3. Establish a strong sense of **public service** among political leaders, managers, and others who work in the public sector;

(a) Governments will imbue political leaders, public sector managers, and civil servants with a spirit of public service.

Codes of ethical conduct, based on the enabling strategy, should be translated into standards of acceptable behavior and incorporated into guidelines for management, administration, and evaluation of public programmes; political leaders play a key role in setting standards as examples of ethical behavior; public sector systems must be open and accountable to reinforce ethical standards of behavior.

4. Institutionalize **accountability** to guarantee that public resources and decisions are directed toward priority needs with fairness to all;

(a) Governments will institutionalize openness and accountability, eliminating corrupt practices and activities that result in the misappropriation of resources or misapplication of justice in both the public and private sectors.

Governments are responsible to their citizens and must use their authority in ways that are publicly accountable for expenditure of resources; corruption is antithetical to civic engagement, sustainability, and equity; all means possible will be enlisted to fight the corrosive effects of corruption, including, inter alia, linking salaries of civil servants to responsibility and performance, creating independent auditors and ombudsmen, strengthening an independent judiciary, allowing citizens to participate in decision-making, making information available to the mass media and the public, and encouraging external reviews.

5. Provide **guidance** to sustainable development;

(a) Governments will use their authority to guide development only in the public interest;

Government is an instrument of the people and has special authority to act on behalf of all citizens; a major responsibility of government is to help identify and realize a collective vision of the future -- one of an improved quality of life for all; government may discharge this responsibility through, inter alia: goals-setting and visioning exercises; policies, standards, rules and regulations; and facilitation of open generation and two-way transmission of information between citizens and government in decision-making processes.

6. Work for the equitable **amelioration** of unfair, unhealthy and unsafe conditions;

- (a) Governments will use their authority to prevent and ameliorate inequitable, unsafe, and unhealthy conditions.

Government has a special responsibility to intervene when citizens are, or are about to be, deprived of their basic rights and when basic needs are unmet; governments may discharge this obligation by, inter alia: maintaining active monitoring systems; emergency preparedness and relief; technical assistance and resource distribution; unbiased mediation, arbitration and adjudication of disputes; by fairly enforcing standards, rules and regulations; by offering safety nets to victims of disaster, vulnerable groups, and others who may be affected adversely by circumstance.

7. Promote more effective leadership, management and operations at all levels through **capacity building** activities;

- (a) Governments will build capacity for leadership, management, operations and participation at all levels.

Capacity building, in the form of, inter alia, training in operations, management techniques, leadership skills, community facilitation and for effective participation should be part of all programmes to ensure that governments have the ability to carry out their responsibilities.

- (b) Governments will undertake periodic and comprehensive management and capacity audits to determine capabilities and needs.

The management and implementing capacities of all agencies and organizations which have development responsibilities should be evaluated on a regular basis; capacity building programmes will consequently be monitored regularly and modified, as needed.

- (c) Governments will build national and sub-national capacities to assist local authorities to become more responsive to the needs of their citizens and communities.

National and state/provincial governments will help build local authorities' capacities to plan, manage, organize, regulate, respond, distribute, inform, mediate, broker, and facilitate; this may be done through training, education, delegation, resource redistribution, and other means; it may be appropriate for many capacity building activities to be carried out by means of non-governmental organizations or the private sector.

- (d) Governments will institutionalize processes for sensitizing and training incumbents in, and candidates for, leadership posts.

Leadership is different from management in that leaders are required to supply the vision for setting overall direction; sensitive leadership is often the single most important factor in the successful implementation of the enabling strategy for sustainable development.

8. Motivate and support key groups and modify institutional structures, if necessary, to increase **responsiveness** to the needs of people;

- (a) Governments will undertake objective and transparent assessments of such development tasks and responsibilities for purposes of delegating to various levels and actors.

Assessments will emphasize overall effectiveness and comparative responsiveness to citizens' needs as two criteria for evaluation; assessments must be specific to each country,

as the proper balance and allocation of tasks and responsibilities will be directly related to culture, values, and social structures.

- (b) Governments will devolve appropriate responsibilities, authorities and resources to the level most accessible and responsive to citizens.

Provincial/state and local authorities, as well as community councils, will be empowered to address better the needs of citizens using means delegated from higher authority.

- (c) Governments will support representative non-governmental and community-based organizations as integral to settlements and shelter development.

Such organizations help coordinate community resources, identify and advocate for local needs, and act as intermediaries between government and citizens.

- (d) Governments will use their authority to ensure and support a truly competitive private sector in seeking the most cost-effective and responsive means to implement equitably settlements and shelter policies.

A competitive private sector is important to the efficient functioning of settlements; competition can lead to lower prices and improved service for the consumer; competition in private sector involvement in the delivery of public services will be ensured through proper contracting procedures and judicious selection of activities in which the private sector may be involved; government will exercise its regulatory powers to ensure against monopolistic and unfair practices -- public or private.

9. Eliminate **barriers** to effective mobilization and application of human, technical, institutional and financial resources at all levels;

- (a) Governments will eliminate barriers to the implementation of people-centred settlement and shelter policies and programmes and to the efficient and effective use of available resources.

Barriers may include, inter alia, exclusionary regulations and ordinances, prohibitive standards, inequitable and counterproductive tax laws, lack of access to transport and telecommunication, lack of access to information and lack of access to land and credit.

10. Foster universal **literacy** and general **education**;

- (a) Governments will use their resources and authority to achieve universal literacy and education for all women and men, equally.

Language skill is the key to improving the quality of life for all through, inter alia: expressing needs, providing access to (and critique of) information, fact, and opinion, and fostering solidarity and social cohesion; education can be an effective institution in creating cultural literacy and inculcating the spirit of civic engagement.

11. Ensure access to accurate, usable and timely **information** by all people, by leaders and government managers, and by all other participants in the development process;

- (a) Governments will encourage the free flow of uncensored information and the exchange of opinions through the mass media.

For informed participation, citizens must have access to ideas and useful information through newspapers, radio, television, other telecommunication services as well as the traditional media.

- (b) Governments will ensure the extension of open and affordable point-to-point communication services to all people and organizations.

In an urbanizing world, efficiency in business and government and the effectiveness of partnerships and support institutions -- including the family -- will depend increasingly upon interpersonal telecommunication; settlements may be made more sustainable through reduction of energy consumption realized by telecommunication.

- (c) Governments will establish and support publicly accessible management information systems at all levels.

Open information systems are necessary for effective participation and efficient management; systems for conditions monitoring, problem identification, policy formulation, and programme development will include, inter alia, public and private systems of indicators, statistics, and geographic information as well as professional staffing for research and analysis.

- (d) Governments will require, monitor, and evaluate social, economic and environmental impact analyses on all major development policies, plans and proposals.

Many project proposals may have hidden costs and inadvertent impacts that might be avoided through early analysis and redesign; information from timely impact statements will be especially useful in the public discussion of specific development policies; where impacts of small, incremental developments may be cumulative over time, area-wide plans should take the overall impact into account, and impact evaluations on plans should be performed and vetted by the public before they are approved.

- (e) Governments will cooperate with other governments and with international agencies in the exchange of information on settlements and shelter issues.

Useful international functions include, inter alia: identification, analysis and dissemination of best practices; evaluation and transfer of appropriate methods and technologies; sponsoring training and exchanges of professional staff; and facilitation of information flow through networking between countries; all will help to build capacity from the experiences of others.

12. Adopt mutually consistent settlements and shelter policies and programmes which embody the three basic principles of civic engagement, sustainability, and equity and carry forward the strategy of enablement.

- (a) Governments will formulate, adopt and update every four or five years a "rolling" long-term (initially for 1996 - 2020) national settlements and shelter policy plan that sets goals for future action and includes a national charter of settlements and shelter rights.

The national policy for settlements and shelter will identify and build on the social, economic, and environmental trends and the capacities of both urban and rural areas and will provide the rationale for integrated public and private activities in all sectors to achieve a common set of goals; the charter would be based on an International Convention of Settlements and Shelter Rights.

- (b) Governments will formulate, adopt, and regularly adjust a short-term (four- or five-year) action plan for consisting of a set of measurable objectives,

coordinative mechanisms, and implementing activities within priority programme areas.

Priority, multi-sectoral programmes should include direct and indirect support for, inter alia, shelter provision, poverty reduction, management of the environment, disaster mitigation/relief/reconstruction, and governance/participation/management; cross-sectoral programmes will address, inter alia, training and education, participation and facilitation, transfer of methods and technologies, research and analysis, and policy and programme development; programmes will be periodically updated, based on objective and empirical evaluations and on broad-based consultations and consensus among all people.

- (c) Governments will monitor and evaluate settlements conditions and progress toward implementation of national policies and programmes.

Progress toward programme goals and objectives will be periodically measured using locally appropriate indicators, statistics, community surveys, and other bases for analysis; systematic adjustments in policies and programmes will be made on the basis of periodic evaluations.

- (d) Governments will subscribe to a common system for international reporting on progress toward implementation of national policies and programmes.

To help set international priorities for technical cooperation and resource allocation, international comparisons will be made based on a mutually acceptable set of criteria and measures.

B. Commitments by Provincial/State Governments

NB *The framework for commitments by all groups will be same as that for governments -- that is, the enabling strategy and the strategic objectives presented in Chapter 3. It will be the task of various groups and their constituents, during the first three quarters of 1995, to articulate commitments that augment those made by government in order to support and sustain an enabling strategy. The secretariat intends to provide guidance and assistance in this process.*

C. Commitments by Local Authorities

— metro regions

D. Commitments by Non-Governmental and Community-Based Organizations

E. Commitments by Business Groups

F. Commitments by Academic and Scientific Institutions

G. Commitments by Professional Associations

H. Commitments by Journalistic and Media Societies

I. Commitments by Others

CHAPTER 5

PROGRAMMES

NB *The following text is intended only as a general framework for Chapter 5. Programme details, including priorities and responsibilities will be developed during the first three quarters of 1995 from a variety of sources (see Annex B) and discovery processes.*

A. Enablement Programmes

The fundamental premise of the Global Plan of Action is that, in an urbanizing world, a new urban ethic must evolve from a strategy of enablement in order to improve living environments for all. Because governments are increasingly aware that they cannot solve problems by themselves, enablement extends the means to all citizens and groups of key actors to become engaged in the development process as partners. It also extends an invitation to governments, government leaders and managers to improve their own capacities, their own sensitivities to the needs of all people and to their own performance in the public interest.

Before a new urban ethic is established, however, public attention will tend to focus not on process but on the drama of substantive issues: poverty, environmental degradation, lack of shelter, crime and disaster. It is politically tempting, therefore, to initiate programmes which promise an immediate counterattack on highly visible problems regardless of the state of knowledge or available capacity. Without a capacity to better understand complex socio-economic and environmental processes, for example, government-centred programmes -- even those supported by the international community -- will be less and less effective as urbanization continues to defy "declarative" problem solving approaches that are based on partial knowledge, inaccurate information and opinion. Without a capacity to guarantee transparent decision-making, there will be less assurance that any programme will be people-centred or consistent with individual, family, or community priorities.

The Global Plan of Action will, thus, support capacity building programmes in two categories: (1) enablement programmes; and (2) substantive programmes. Enablement programmes are process-oriented and are aimed at capacity building in the areas of training and education, participation and facilitation, transfer of methods and technologies, research and analysis, and policy and programme development. They are intended to strengthen enabling procedures applicable to all aspects of development (i.e., they are cross-sectoral); they may be sponsored by government at any level but, most effectively, by government in partnership with key actors, including international agencies. Programme Design Matrix 1 (see Annex C), summarized below, provides an assemblage of enablement programmes and sub-programmes that are recommended for implementation by governments in partnership with key actors.

1. Training and Education
 - (a) Training for leadership, management, and community development
 - (b) Public education in civics
 - (c) Literacy and general education for all women and men
2. Participation and Facilitation
 - (a) Group facilitation, participation, and partnership formation
 - (b) Integration of gender issues in development
 - (c) Integration of vulnerable groups in development
 - (d) Mass media, communication and networking
3. Transfer of Methods and Technologies
 - (a) Identification, evaluation and transfer of best practices
 - (b) Identification, evaluation and transfer of appropriate technologies
4. Research and Analysis
 - (a) Research, impact assessments, and risk analyses
 - (b) Using indicators, statistics and surveys for monitoring and evaluation
5. Policy and Programme Development
 - (a) Policy planning
 - (b) Action programming
 - (c) Programme monitoring and adjustment

NB *Enablement programmes will be elaborated through international workshops, seminars, and other means for dialogue and discussion. These fora should result in options including such details as: policy goals; statements on priority issues; strategies and actions; proposed local, national and international responsibilities and implementing means; associated targets and indicators for monitoring; and, if possible, modular costing.*

B. Substantive Programmes

Substantive programmes, usually being problem oriented, are more difficult to define at the global level. Cultural, social, and economic context varies widely so that both problem and solution will be viewed differently from place to place. It is normal that governments (and international assistance organizations) assign programme responsibility to single agencies whose authorities most closely relate to the issues at hand. For settlements development, especially, this single dimensional approach to interrelated sets of issues has often resulted in an inability to synthesize community objectives and to make efficient inter-sectoral trade-offs. The final reconciliation of programme activities is usually left to the short-range public sector budgeting process, which often results in a distorted, top-down view of community issues.

The Global Plan of Action recognizes that settlements and shelter development has suffered from the single sector approach and that programme design, resource coordination and capacity building must be multi-sectoral and multi-level. Programme Design Matrix 2 (see Annex D) provides a tool for identifying capacity-building sub-programmes which will make up the priority programmes aimed at some of the most intractable settlements problems: shelter provision; poverty reduction; environmental management; settlements management; and disaster mitigation, relief, and reconstruction. The sub-programme element of the matrix especially encourages capacity building activities and the formation of coordinating bodies whose membership -- including that of community representatives -- is consistent with the assignment of sectoral responsibilities and authorities.

Following are bundles of sub-programmes at two scales that might be coordinated under, for example, a national programme of poverty reduction:

1. Poverty Reduction at the Neighborhood/Community Level
 - (a) Community-based shelter upgrading and transfer of appropriate building technology
 - (b) Generating and supporting livelihood opportunities
 - (c) Local economic development (formal and informal sectors)
 - (d) Environmental infrastructure reticulation (water, sanitation, drainage, solid-waste recycling and disposal) via community contracting
 - (e) Social infrastructure development (schools, clinics, parks, community centers)
 - (f) Mobility and communication (local transportation, mass media, traditional media, posts, telecommunication, networking)
 - (g) Conservation of energy and resources (heating, transport, cooking, building)
 - (h) Community management (action planning, formation of cooperatives, advocacy and participation, security of tenure, access to credit)
2. Poverty Reduction at the Urban/Regional Level
 - (a) Shelter: access to land and finance, regularization and resettlement
 - (b) Employment and macro-economic development
 - (c) Regional planning and urban/rural functional integration
 - (d) Environmental infrastructure provision (source/disposal facilities and trunk lines)
 - (e) Social infrastructure allocation (higher education and training, public safety, hospitals, parks and sports facilities)
 - (f) Communication infrastructure distribution (public bus lines, optional modes of transport, post and telecommunication networks)
 - (g) Conservation of energy and resources (consumption/production patterns, fuel substitution, indigenous construction materials)
 - (h) Management improvement (metropolitan regional government, revenue enhancement, cost recovery, transfer payments, social safety nets design and funding)
 - (i) Disaster mitigation, emergency relief coordination, reconstruction

The programme axis in Annex D is not limited in any way to the five multi-sectoral programmes. Several other topics -- in fact some of those presented on the sub-programme axis down the left side -- might be included (e.g., community-based development and regional development are obviously multi-sectoral). There are, in addition, several components that appear in several sub-programmes as part of a general problem-identification or problem-solving process: development and application of indicators; goals-setting and visioning; methods of finance; monitoring and evaluation techniques; identification of best practices. These might become useful additions to enablement capacity building programmes and should be examined in the context of enablement programme design (Annex C).

Finally, there are single components of sub-programmes that may act as effective levers in making settlements and shelter delivery systems work: access to land and land tenure reform; extension of credit and community finance; support for micro-enterprises in the informal sector; retraining for alternative livelihoods; improving telecommunication systems; extension of mass transit systems; protecting prime agricultural land and other natural resources; strengthening land use regulations; upgrading building codes; and eradicating corruption, just to mention a few.

While suggestive of real priorities, as seen from a global perspective, the blank matrices in Annexes C and D are presented only as tools to facilitate discussion by key actors at all levels in each country and in each community. It is intended that in using these tools and in modifying the matrices to accommodate national and local issues and perceptions, agreements will be reached on a sequence of priority activities to improve living environments and the quality of life in specific locations. Once this has occurred, those activities may be organized into programmes for capacity building and action, possibly with higher level support.

From the foregoing, it becomes apparent that focusing only on multi-sectoral substantive programmes risks missing some very selective and targeted means for solving the most pressing settlements and shelter problems. This is why the enablement strategy and the components of the matrix in Annex C have an overriding importance. It is through such a strategy, by involving citizens as well as experts, managers, and leaders in monitoring conditions, identifying issues and agreeing on priority actions, that the most important issues and substantive programmes will continue to rise to the top of the agenda.

NB Substantive programmes will be elaborated through analysis and synthesis of national plans of action, major reviews, international workshops, seminars, and other means for dialogue and discussion. As with enablement programmes, the result should be options for implementation, including such details as: policy goals; statements on priority issues; strategies and actions; proposed local, national and international responsibilities; associated targets and indicators for monitoring; and, if possible, modular costing.

C. Global and Regional Programmes

NB *Global and regional programmes -- those necessitating multi-lateral and bi-lateral agreements -- must be justified on the basis of demand from a broad international constituency. Such a constituency may be revealed through prior experience in the field of technical cooperation, through the elaboration of national plans of action, through major reviews of global and regional issues, or through other means. It is important to point out that in the participatory design process for the GPA, the content of this and subsequent chapters is highly dependent upon results from a wide ranging discovery process. The argument may be made that the discovery processes need not be completed by the time of the Habitat II Conference. If governments have committed to an enabling process that includes long- and short-range planning and if there is established a global programme to facilitate the continuation of national planning processes, then the programmes in the Global Plan of Action will become "renewable" as called for in the design guidelines for the GPA. In this case, it is recommended that UN members states subscribe to a process for continuously updating the GPA.*

Generally, global programmes may conform to enablement programmes and substantive programmes as proposed in Annexes C and D. These ten programme proposals, at least, should be the focus of discovery processes during the first three quarters of 1995 if the GPA is to result from a bottom-up approach to a global planning process.

NB *This section may be incorporated into Chapter 7 on "Responsibilities."*

CHAPTER 6

PRIORITY ACTIONS

NB *The identification of substantive priorities in each country will result primarily from the process of formulating a national plan of action. Therefore, gaining support for their national preparations becomes, for some least developed and developing countries, a current priority. Within the resources available to it in 1995, the secretariat is providing technical and financial assistance to help such countries identify priority issues, proposed policy changes, possible implementing means, and capacity-building activities in two or more multi-sectoral areas per country in 50 countries.*

In all countries, these objectives should be accomplished through, at a minimum, the selection and application of appropriate settlements and shelter indicators; through the identification of best practices; through the organization of national consultations to reach a consensus on priorities; and through sub-regional meetings to monitor progress, communicate lessons learned, and to try to reach agreement on common priorities for action.

This chapter of the Global Plan of Action will synthesize national and regional priorities, to the extent that may be possible, in the form of (a) a series of first steps which all governments and key actors should take, cooperatively and consistent with their commitments, in implementing highest priority substantive programmes; and (b) the first steps governments and key actors must take, again consistent with their commitments, in putting in place an effective enabling strategy.

CHAPTER 7

INTERNATIONAL RESPONSIBILITIES

NB *Because the Global Plan of Action is really about the process for formulating and implementing national plans of action and because the previous chapters address national and sub-national responsibilities in that regard, this chapter will focus on international responsibilities in assisting with implementation of national priorities. While it may be possible to identify international responsibilities in parallel with the process of identifying national priorities leading up to the Conference, it is likely that some responsibilities, which will require reformulating international programmes and coordinative mechanisms, must be determined ex post Conference, as noted in Chapter 5, Section C.*

In any case, it would be advisable for the specific mechanisms, resources, and priorities available through multi- and bi-lateral assistance programmes (including those of the United Nations specialized organizations and agencies, the World Bank, regional development banks, national development aid programmes, NGOs, foundations, and others) to be reviewed in light of priorities as agreed-upon in the Global Plan of Action. The secretariat is proposing to begin this process in 1995. However, as national priorities may be revealed and modified over time, the review of international programmes, coordinated with the continuing post-conference processes of national planning, will be necessary beyond June 1996 and should become a normal, centralized function of the international technical cooperation community in order to ensure effectiveness of cooperation and congruence of international programmes and national priorities.

AGREEMENTS

NB Agreements in annexes to the GPA will be negotiated among two or more states, cities, NGOs, agencies, and/or organizations in order to implement specific programmes or portions of programmes as detailed in Chapters 5, 6 and 7. Negotiations must be substantially complete within one month following PrepCom 3, in early 1996. Follow-up actions as part of the agreements will be finalized at the Istanbul Conference and will specify coordinating functions, reporting functions, monitoring of results, and deliverable services. All agreements will be severable in the legal sense. That is, adoption of the Global Plan of Action in Istanbul will not be dependent upon signing of agreements nor will the effect of the agreements be dependent upon adoption of the Global Plan of Action.

ANNEX A

Guidelines for Design of the Global Plan of Action

A. Definitions

1. **Global** means geographically, politically and functionally comprehensive.
This will require mechanisms to coordinate between international, regional, national, and local actors – including organizations and individuals in the public, private, and NGO sectors – and to link various functions (e.g., community development, environmental management, disaster mitigation, etc..)
2. **Plan** refers to a strategy, to interrelated programmes and to the process by which they will be elaborated, coordinated and evaluated for effectiveness.
This implies the on-going and comprehensive assessment of conditions and resources, periodic reassessment of priorities, reformation of objectives, detailing of implementing programmes, and monitoring of progress.
3. **Action** refers to those activities leading to achievement of goals.
Achievement of goals will require commitments by key actors to engage both in priority activities and in the process by which activities are elaborated, coordinated and evaluated.

B. The Planning Process

1. GPA will be developed through the participation of a broad range of experts and interest groups.
A global sample of individuals representing key interests will be engaged in a dialogue on what the GPA should contain and how it is to be formulated.
2. GPA and national plans of action will be developed in concert through dialogue and mutual feedback .
A two-way process will help both the GPA and national plans of action to "inform" one another and to achieve consistency of format, substance and priority.

C. Presentation of the Plan

1. The GPA should be bold and innovative.
Both the subject of urbanization and its presentation demand a new approach: concise and targeted directly to the needs of people.
2. The GPA should be stimulating and comprehensible to all.
The GPA will be presented in language that is exciting to the imagination and will be accompanied by illustrations and case examples to aid the reader's understanding of the complex nature of settlements and shelter.
3. The GPA should have a clear structure and well-defined objectives.
This will foster a better understanding of the document by all people and will assist in monitoring progress toward its implementation; among other things, a popular title for the GPA shall be sought .

D. Attributes of the Plan

1. GPA should be logical and systematic.

Urban issues are complex and require a rational approach that progresses from goal-setting to the identification of capacity limitations in order to formulate effective programmes and practical priorities.

2. GPA should be receptive to changing conditions.

The speed of change in an urbanizing world requires continual re-assessment and re-testing of development concepts, policies and strategies within the usually less dynamic context of culture.

3. GPA should be renewable.

While principles and goals of the GPA remain relatively static, short-term objectives, priorities, resource allocations and technology applications will be modified regularly on the basis of continuous monitoring and evaluation of approach, progress, and conditions.

4. GPA should be informed.

GPA programmes and sub-programmes will build on priorities established in national plans of action, on lessons learned since Habitat I in 1976 and on experience gained from the International Year of Shelter for the Homeless, the Global Strategy for Shelter and Agenda 21; relevant deliberations and declarations from recent UN conferences shall be duly considered as will be summaries and conclusions from regional and local meetings, colloquia, seminars and workshops on topics related to the GPA; the resolutions and declarations of the General Assembly and its subsidiary bodies are to be guides; other information and arguments will also inform the GPA; departures from mandates will be fully justified on both practical and conceptual grounds.

5. GPA should be "coordinative."

GPA will define appropriate roles for UN agencies in settlements and shelter development; it will consider responsibilities resulting from related UN conferences and programmes but should not to be constricted in its recommendations by present work programmes and capacities.

E. The Purpose of the Plan

1. GPA is intended to be both normative and supportive.

GPA will contain basic principles for improving living environments and will offer support to key actors who commit themselves to act on those principles.

2. GPA is intended to build on the principles of civic engagement, sustainability and equity.

Civic engagement stresses the need for men and women to accept personal responsibility for their community while, at the same time, exercising their individual rights. Sustainability is determined by the social, economic, and environmental patterns that encourage or limit future development. Equity represents the sharing of available resources so that each man and woman may feel secure to make a productive contribution to the future of the community.

3. GPA is intended to commit key actors to act on the principles.

Commitments may include: adopting equitable and participatory modes of management; entering into partnerships; supporting community-based development; mobilizing and allocating resources fairly; sharing responsibility and authority; recognizing environmental and resource constraints; removing regulatory barriers; etc.

4. GPA is intended to link governance to people's needs and aspirations.
Government must see itself as sharing responsibilities with people and providing the means to enable all women and men to meet their needs and to achieve their goals.
5. GPA is intended to mobilize key actors around the needs and priorities of communities.
GPA will encourage the development and integration of local and national action plans and resource allocation priorities based on the integration of community-defined goals and priorities.
6. GPA is intended to help eliminate gender-based discrimination.
Programmes derived from the GPA must sensitize governments and others to issues of gender and capitalize on the full potentials of both women and men.
7. GPA is intended to help provide for the basic needs of vulnerable groups.
Programmes derived from the GPA must sensitize governments and others to address the special needs of the poor, the disabled, children, and the aged.
8. GPA is intended to encourage adoption of open and transparent management processes at all levels.
GPA will provide support for open information systems and public participation in policy setting, programming, budgeting, monitoring and evaluating programmes at all levels.
9. GPA is intended to facilitate networking.
In order to disseminate learning experiences among communities, private enterprise, non-governmental organizations, local authorities and national governments, the GPA shall propose global and regional information networks.
10. GPA is intended to establish global services that support key actors in processes to improve living environments for all.
Such services would include international technical support programmes (e.g., a global monitoring system; indicators; data base of best practices; management information systems), training in improved management practices (e.g., for land development and control, for settlements and shelter finance), research programmes (e.g., on production and consumption patterns, techniques for strengthening civic society), development of new technologies, etc.
11. GPA is intended to help implement Agenda 21.
GPA will propose actions for effective protection, conservation and rehabilitation of the environment and natural resources at the local level.
12. GPA is intended to help implement the New Development Agenda of the United Nations.
Because much of national development activity takes place in settlements, the GPA will guide the NDA to focus on social and economic requirements of settlements in national development processes.
13. GPA is intended to help implement other programmes of UN agencies and UN conference recommendations.
These may be adopted by reference or with minor modification; operational commitments made under this GPA may be applied within the context of other programmes at both the national and local levels.

F. The Structure of the Plan

1. GPA will begin with a short **preamble**.

The importance of settlements and cities. The need for an urban ethic. The UN ideals to which Habitat II and the GPA respond. The enabling strategy.

2. GPA will continue with an introduction to the **key issues** of settlements and shelter and a discussion of trends and priorities.

This will be a concise, generalized assessment of the meaning and impact of the transition of human habitat from rural to urban; urban culture as a reality of, threat to and hope for humanity; definitions of, inter alia, cities and urban areas as components of larger systems composed of towns and villages as well as rural areas; the need for people-centred problem-solving.

3. GPA will lay down **principles** to inspire commitment.

The principles will be a small number of broad, cognitive concepts considered to be essential to the viability of settlements; more focused and substantive principles may appear as policy goals and objectives under programme and sub-programme headings.

4. GPA will propose a **strategy** for orienting activities at all levels around the conference goal.

The strategy is how the GPA intends to mobilize and use resources in achieving the goal of making living environments healthy, safe, just, and sustainable.

5. GPA will propose sets of operational **commitments**.

These will be modes, methods, and processes which are best suited to the roles and responsibilities of each group in implementing the strategy of the GPA at the local, national and international levels; commitments will be, in the first instance, those of governments and local authorities; international organizations and key interest groups will be encouraged to adopt their own commitments during the preparatory process.

6. GPA will propose matrices of **enablement and substantive programmes** for improving living environments everywhere. Substantive programme content will be derived from, *inter alia*, priorities expressed in national plans of action, which will be encouraged to follow a similar format, and from major reviews of conditions and trends. Enablement programmes will be more normative, supporting processes for participation, training, technology transfer, research, and policy development.

Programme areas will in most cases be multi-sectoral, cutting across administrative boundaries and will, therefore, require political coordination and commitment. Each programme area will encompass several related sub-programmes. Each substantive programme will address priority issues, strategies, proposed local, national and international targets, and associated indicators; enablement programmes will encourage capacity-building in support of, for example, policy formulation, accountability, wider participation, increased gender awareness, information generation and analysis, and enhanced management and leadership skills to achieve the goal of improving people's living environments.

7. GPA will propose the initiation of, and support for, a specific set of costed **global programmes**.

Such programmes are those for which a priority demand will have been demonstrated through global analysis and in national action plans and which may require external assistance in formulation, testing, start-up and development.

8. GPA will outline **priority actions** to be taken in implementing programmes.

In addition to expeditious reordering of international cooperative programmes, priority activities would include those indicated in the five-year national plans of action: development and application of indicators, capacity assessments, goals setting, sensitizing leadership and management, etc.

9. GPA will define the **institutional responsibilities** for coordinating and monitoring the GPA at the international level.

These responsibilities include regional and global reporting by key actors and coordinating and evaluating activities intended to implement the programmes of the GPA.

10. GPA will be the basis for specific and separate **agreements** between key actors and governments to cooperate in sponsoring specific activities and in implementing specific elements of the GPA.

Agreements will appear as distinct and separate documents; adoption of the GPA shall not be dependent upon agreements being signed; signing of agreements need not be dependent upon adoption of GPA; agreements addressing the needs of vulnerable groups shall be specifically encouraged.

ANNEX B

Key Issues: Sources

A. Sources of Discovery

1. The ***Report on the Status of Human Settlements***, requested by the Preparatory Committee at its first substantive session, will be the same as the ***Global Report on Human Settlements: 1995***, now being prepared by UNCHS (Habitat) for the Commission on Human Settlements. From this report will be drawn an overview of human settlements issues as they have emerged over the past several years.
2. ***Review of trends in policies and programmes undertaken by countries and international organizations to implement the recommendations adopted by Habitat I: United Nations Conference on Human Settlements.*** A portion of this report, addressing shelter policies and programmes, has been completed by UNCHS (Habitat) as a report to the Commission on Human Settlements. During the first two quarters of 1995, the secretariat will augment the report with sections on settlements policies and programmes. Lessons learned from the past two decades of settlements and shelter activities should help provide targeted guidance for future activities.
3. ***Mid-term review of the implementation of the Global Strategy for Shelter to the Year 2000 and recommendations for the attaining of its objectives by the target date.*** This report has been completed by UNCHS (Habitat) for the Commission on Human Settlements and the General Assembly. It contains recommendations on shelter-related activities to the year 2000.
4. ***Review of the contribution of national and international action in the area of human settlements to the implementation of Agenda 21.*** A portion of this report, addressing the contribution of United Nations agencies to the implementation of Chapter 7 of Agenda 21, "Promoting Sustainable Human Settlements Development," has been completed. During the first two quarters of 1995, the secretariat will augment the report with sections addressing national and local actions in implementing all chapters related to human settlements. This report will provide insight to potential strategies for implementing the human settlements related chapters of Agenda 21 at the national and local levels.
5. **The review of current global trends in economic and social development as they affect planning, development and management of human settlements, and recommendation for action at the national and international levels.** This report is to be finished in July 1995 and will view the impact of the global economy primarily from a social perspective, lending support to the strategy of enablement and a process-oriented approach to settlements and shelter.
6. **Interrelationships Between Habitat II and Other United Nations Conferences.** This report will be finished during the second quarter of 1995 and will synthesize and organize the human settlements related principles, declarations and programme elements from major UN conferences, including,

inter alia, the UNCED in Rio, ICPD in Cairo, and the Vancouver Habitat Conference in 1976.

7. **Declarations and Documents from the Regional Economic Commissions.** These are being analyzed for priority issues and prospective programmatic responses.
8. **Programmes of UNCHS (Habitat) and other international organizations.** The Medium-Term Work Plan (MTWP) of UNCHS (Habitat) has been approved and is designed around a set of multi-sectoral programmes that give priority to issues of shelter, poverty reduction, disaster mitigation and relief, urban management, and environmental infrastructure. Global policy development and national capacity building are two support programmes in the MTWP. UN organizations and agencies are being asked to supply information on their priorities and programmes related to settlements and shelter development.
9. **National Plans of Action.** The second and third progress reports on national preparations for Habitat II are due from each country in April and August of 1995, respectively. These reports will provide specific information on national trends and issues and on programmatic priorities. National reports will also supply information on progress in policy implementation since the Vancouver conference and in implementing Agenda 21 and the Global Strategy for Shelter. Of particular importance will be: (a) the national and local applications of urban and shelter indicators to identify issues and priorities; and (b) nominated Best Practices from which issues and priorities may be inferred.
10. **International colloquia, symposia, workshops, and seminars.** To take place through the third quarter of 1995, these gatherings and media events will be guided to discuss specific functional issues as they relate to an enabling strategy and to the principles of civic engagement, sustainability, and equity. The objective of each event should be to provide the GPA with a basis for specific programme proposals and to foster commitment to the enabling strategy.
11. **The Habitat Advisory Panel (HAP).** This open-ended group of over 300 international experts, national and local leaders, and other correspondents has been engaged in the review of all drafts of the GPA. Advice of the HAP will continue to be sought in the preparation of chapters 1, 5, 6 and 7.

B. Issues Recommended by the Preparatory Committee

The two conference themes accepted by the Preparatory Committee for Habitat II are: (a) adequate shelter for all; and (b) sustainable human settlements development in an urbanizing world. These themes have multiple dimensions that become apparent at different levels and scales: from credit availability to the family unit; to the formation of community cooperatives; to planning for integration of city-wide services; to revenue raising and redistribution throughout a metropolitan region; to provincial/state training support; to national policy for natural resource conservation; to international information networking. The Global Plan of Action is about settlements development and shelter for all. To be practical, however, these themes must be broken into their constituent parts which may then be reformed into effective, multi-sectoral programmes with action priorities, assigned responsibilities and proper costing.

The Preparatory Committee recommended that four multi-sectoral issues be woven into all programmes and sub-sectoral programmes: (a) settlements management, with reference to decentralization and the involvement of people and their organizations; (b) poverty reduction; (c) environmental management; and (d) disaster mitigation, relief, and reconstruction. Without limiting the field of such multi-sectoral issues prematurely, it is intended that the substantive portion of the GPA will be formed around a nucleus of these issues in addition, of course, to that of shelter provision.

Cross-sectoral issues suggested by the Preparatory Committee are: (a) women; (b) the urban economy and employment; (c) social and economic dimensions of urbanization and shelter development; (d) education and capacity-building; and (e) equity and vulnerable social groups. In various forms and formats, each of these will also be part of the GPA, primarily within the context of enablement programmes.

Additional aspects and issues, as suggested by the Preparatory Committee, include: (a) urban areas, environment and energy; (b) transport and energy; (c) urban-rural interaction and competition; (d) research support to regional and national institutions; (e) the special characteristics of different regions of the world; (f) affordability of basic shelter and services; (g) south-south cooperation and north-south cooperation; (h) the role of regional, spatial/physical and urban planning; (i) the special needs of disabled persons; (j) reconstruction and revitalization of areas and settlements affected by war; (k) participatory and consultative mechanisms throughout the programme formulation, implementation and monitoring process; (l) development of environmentally-friendly building materials and construction technology; (m) assistance for the temporary settlement and resettlement of refugees and their return to their country of origin, as well as assistance for internally displaced persons; (n) regularization and upgrading of informally built settlements; (o) sustainable land-use planning and management; (p) employment-intensive shelter strategies; (q) conservation and preservation of freshwater resources; (r) health and environmental improvement; (s) the effects of migration on cities; (t) coastal zone management; (u) shelter for people in emergencies; (v) land and finance; and (w) community participation and the informal sector.

Some of these issues may justify their own action programmes at several levels, including the international; some are issues begging for research to determine the potential impacts of various policy options; others call for new perspectives on already identified issues of high priority. The GPA will provide a structure for dealing with such a wide range of topics and issues and will call on participants in the preparatory process leading up to Habitat II Conference to assist in defining programmes, setting priorities and identifying responsibilities.

C. Issues from Chapter 7 of *Agenda 21*

Chapter 7 of *Agenda 21*, "Promoting Sustainable Human Settlements Development," recommends that technical cooperation activities, partnerships among public, private and community sectors, and participation in the decision-making process by community groups and special interest groups such as women, indigenous people, the elderly and the disabled be formed around priorities in eight programme areas: (a) providing adequate shelter for all; (b) improving human settlement management; (c) promoting sustainable land-use planning and management; (d) promoting the integrated provision of environmental infrastructure: water, sanitation, drainage and solid-waste management; (e) promoting sustainable energy and transport systems in human settlements; (f) promoting human settlement planning and management in disaster-prone areas; (g) promoting sustainable construction industry activities; (h) promoting human resource development and capacity-building for human settlement development.

This list conforms, generally, to that proposed by the Preparatory Committee, excluding poverty reduction as a programme and adding land management, energy, transport, construction and human resources development. The GPA will attempt to reconcile the two lists within a matrix structure.

Agenda 21 outlines the basis for action, objectives, activities, and means of implementation for each of these programme areas which may be adopted by reference in the GPA.

ANNEX C

Programme Design Matrix 1 Enablement Programmes

Programme Design Matrix 1

Enablement Programmes

Training and Education	Participation and Facilitation	Transfer of Methods and Technologies	Research and Analysis	Policy and Programme Development
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Sub-Programmes

A. Participation

1. **Education in civic engagement**
 - Rights and responsibilities in cultural context
 - Economics, sustainable dev. and the quality of life
 - Equity, security and solidarity
2. **Facilitation of participatory processes**
 - Consultative techniques
 - Interactive telecommunication and other media
 - Visioning and goals-setting methods
 - Community action planning
 - Self-mobilization processes
3. **Gender in settlements and shelter development**
 - Awareness and sensitivity seminars
 - Documents review
 - Gender impact assessments
 - Advocacy training
4. **Vulnerable groups in development**
 - Awareness and sensitivity seminars
 - Documents review
 - Social impact assessments
 - Advocacy training (re: children, disabled, elderly, etc.)
5. **Communication of information for participation**
 - Mass media coverage assessments
 - Networking
 - Communication techniques
 - Survey design and application

[illegible]

B. Partnerships

- 1. Facilitation of cooperative group formation**
 - Identifying common objectives
 - Communication and networking
 - Facilitation, mediation and negotiation
 - Strategic and action planning
 - Accounting and bookkeeping
- 2. Forming public/scientific/academic partnerships**
 - Contracting for research
 - Contracting for independent evaluations
 - Utilizing training and education resources
- 3. Forming public sector/private sector partnerships**
 - Contracting out public services
 - Appropriate public incentives for private investors
 - Regulatory responsibilities
 - Maintaining a competitive environment
- 4. Forming public sector/NGO partnerships**
 - Accreditation of NGOs
 - NGOs as contractors for public services
 - NGOs as representative of groups in decision-making

[illegible]

Programme Design Matrix 1

Enablement Programmes

Training and Education	Participation and Facilitation	Transfer of Methods and Technologies	Research and Analysis	Policy and Programme Development
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Sub-Programmes

C. Public Service

1. **Training for leadership and "followership"**
 - Defining the civic, or public, interest
 - Awareness of public demand for service
 - Supporting a spirit of public service
 - Standards for leaders' behavior
 - Ethics and the flow of information
2. **Defining public service**
 - Rights/responsibilities of civil servants
 - Rights/responsibilities of elected/appointed officials
 - Rights/responsibilities of the public and interest groups

D. Accountability

1. **Auditing the auditors**
 - External auditing assessments
 - Internal auditing assessments
 - Financial and programme evaluation procedures
2. **Making government transparent**
 - Disclosure requirements
 - Codes of conduct
3. **Establishing avenues for redress**
 - Legal rights of citizens
 - Ombuds offices
 - Courses of legal action, arbitration and mediation
4. **Promoting ethical conduct**
 - Systems of accountability
 - Corrective actions
5. **Fighting Corruption**
 - Detecting/reporting "kickbacks" and "commissions"
 - Incentives, including pay, for public service
 - Media access to decision-making
 - Detecting/reporting misfeasance/malefeasance of office

E. Guidance

1. **Establishing guidelines and rules**
 - Goals-setting and visioning
 - Defining the public interest
 - Policy-making
 - Standards-setting
 - Law-making
 - Regulation
2. **Enforcement**
 - Regulatory systems
 - Arbitration/mediation/adjudication
 - Contracts law
 - Inspection/monitoring systems

Programme Design Matrix 1

Enablement Programmes

Training and Education	Participation and Facilitation	Transfer of Methods and Technologies	Research and Analysis	Policy and Programme Development
------------------------	--------------------------------	--------------------------------------	-----------------------	----------------------------------

Sub-Programmes

F. Amelioration

1. **Application of justice**
Arbitration/mediation/adjudication
2. **Coordinating emergency response**
Emergency preparedness
Resources coordination
3. **Providing safety nets**
Assistance with basic needs
Job training/retraining
Health and security services
Education and literacy
Mobility
4. **Allocation of resources**
Public finance and revenue enhancement
Setting goals and measurable objectives
Programme budgeting
Programme monitoring

G. Capacity Building

1. **Training for leadership**
Sensitivity to public service and enablement
Visioning and goals-setting skills
Policy-making and delegation
2. **Training for management**
Programme management skills
Facilitation techniques
Personnel management
Budgeting skills
Monitoring and evaluation methods
3. **Training trainers**
Training capacity audits
Techniques for transmitting technical information
Media applications
Learning styles
Training effectiveness evaluations

H. Responsiveness

1. **Devolution of authority and responsibility**
Analysis of institutional context
Government responsiveness audits
Government capacity audits
Training capacity evaluations
Training trainers
2. **Support to NGOs and CBOs**
Inventory and capacity audits of NGOs/CBOs
NGOs as representative of excluded people
Contracting with NGOs/CBOs
3. **Involving priv. sector in delivery of public services**
Appropriate communication with private sector providers
Contracting procedures
Regulatory responsibilities
Ensuring a competitive environment

Programme Design Matrix 1

Enablement Programmes

Training and Education	Participation and Facilitation	Transfer of Methods and Technologies	Research and Analysis	Policy and Programme Development
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Sub-Programmes

I. Elimination of Barriers

1. Assessing impact of current policies, laws and stnds.
On the disabled, vulnerable, women, children and elderly
On participation, info., access to resources and justice

J. Literacy and Education

1. Achieving universal literacy
Basic reading, writing and communication skills
Teacher training
2. Education for all
Compulsory school attendance
Facilities location/allocation
Distance learning
Critical abilities

K. Information

1. Establishing management information systems
Indicators (quantitative/qualitative)
Surveys and statistics
Geographic information
Analytical capacity for policy and programme development
Monitoring capacity for operations and management
2. Assessing social/economic/environmental impacts
Analysis of area-wide plans
Analysis of major development proposals
3. Exchanging information internationally
Best practices
Transfer of appropriate methods and technologies
Staff exchanges
Networking

L. Policies and Programmes

1. Formulating a Nat. Settlements/Shelter Policy Plan
Declarations and Commitments
National goals from broad-based consultations
National programme of enablement
Integration with national economic planning
2. Formulating a Five-year Action Plan
Management and administration strengthening
Shelter provision
Poverty reduction
Environmental enhancement
Disaster mitigation
3. Monitoring of conditions and progress
Community, city and national indicators
Statistics
Surveys
Feedback for adjustment of policies and programmes
4. International reporting
City and national indicators
Feedback/adjustment of int'l support programmes

ANNEX D

Programme Design Matrix 2 Substantive Programmes

Programme Design Matrix 2

Substantive Programmes

Sub-Programmes

Shelter Provision	Poverty Reduction	Environmental Management	Settlements Management	Disaster Mitigation, Relief, Reconstruction
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A. Housing

Develop/apply housing indicators
Analyze housing needs
Adopt declaration of housing rights
Develop housing policy/strategies
Increase/regularize access to land
Guarantee security of tenure
Extend finance and access to credit
Support community - based construction
Support housing upgrading
Develop/apply appropriate technologies
Establish equitable resettlement programmes
Monitor implementation of shelter strategies
Identify/evaluate/expand best practices

B. Community-based Development

Develop/apply community indicators
Support community self-assessments
Support formation of cooperative associations
Support community-based planning
Integrate inter-community priorities
Improve local transport and communication
Distribute local environmental infrastructure
Allocate local social infrastructure
Monitor progress in community development
Identify/evaluate/expand best practices

C. Social Services

Develop/apply service indicators
Analyze service delivery needs
Ensure provision of health care
Support universal education and literacy
Guarantee public safety and security
Increase recreation and open spaces
Provide basic services for vulnerable groups
Integrate service delivery systems
Develop financing mechanisms
Monitor progress in delivery of social services
Identify/evaluate/expand best practices

Programme Design Matrix 2

Substantive Programmes

Sub-Programmes

Shelter Provision	Poverty Reduction	Environmental Management	Settlements Management	Disaster Mitigation, Relief, Reconstruction
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D. Physical Infrastructure

Develop/apply infrastructure indicators
Guarantee access to safe water
Provide effective sanitation systems
Improve drainage systems
Guarantee solid waste collection
Encourage solid waste recycling
Establish safe hazardous waste disposal
Develop financing mechanisms
Integrate infrastructure systems
Monitor effectiveness of physical infrastructure
Identify/evaluate/expand best practices

E. Economy and Employment

Develop/apply economic indicators
Develop/apply employment indicators
Analyze macro-economic context
Reformulate national economic policies
Strengthen local economic planning
Promote community-based employment
Support informal sector
Support micro-enterprises
Protect vulnerable persons from exploitation
Promote sustainable consumption patterns
Promote sustainable production patterns
Support alternative livelihoods
Provide for retraining
Adopt appropriate technologies
Integrate spatial and economic planning
Monitor local economies and employment
Monitor urban, regional, and national economies
Identify/evaluate/expand best practices

F. Energy, Transport and Communication

Develop/apply ETC indicators
Analyze/project ETC needs
Analyze/project ETC systems' sustainability
Promote energy conservation/substitution
Improve personal transport systems' efficiency
Develop/extend affordable mass transit systems
Improve intercity transport systems' efficiency
Develop/extend telecom systems
Develop/analyze financing mechanisms
Encourage sustainable consumption/production
Monitor ETC provision and efficiency
Identify/evaluate best practices

Programme Design Matrix 2

Substantive Programmes

Sub-Programmes

Shelter Provision	Poverty Reduction	Environmental Management	Settlements Management	Disaster Mitigation, Relief, Reconstruction
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G. Environment, Natural and Cultural Resources

Develop/apply environmental indicators
Protect/enhance water resources
Reduce ambient air pollution
Reduce indoor air pollution
Protect prime agricultural land
Protect forest areas
Protect coastal/marine environments
Protect fragile environments
Conserve biological diversity
Strengthen urban design functions
Conserve cultural monuments and ambients
Increase urban open space
Develop conservation incentives
Rehabilitate degraded environments
Support technology substitution
Improve scientific base of knowledge
Adopt environmental accounting
Establish cost-recovery mechanisms
Strengthen regulatory framework
Monitor progress in attaining objectives
Identify/evaluate best practices

H. Land Use Management

Develop/apply land use indicators
Inventory/analyze land use
Inventory land resources
Analyze land absorption rates
Analyze carrying capacities
Analyze land markets, ownership and tenure
Strengthen planning functions
Institute cadastral survey
Strengthen proper land development incentives
Provide for access to land by the poor
Strengthen legal/regulatory systems
Integrate land use guidance systems
Monitor attainment of objectives
Identify/evaluate best practices

Programme Design Matrix 2

Substantive Programmes

Shelter Provision	Poverty Reduction	Environmental Management	Settlements Management	Disaster Mitigation, Relief, Reconstruction
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Sub-Programmes

I. Emergency Preparedness

- Analyze/map natural/man-made hazards
- Analyze vulnerabilities of activities/structures
- Assess risks
- Inventory lifeline services
- Relocate activities/structures at greatest risk
- Promote emergency awareness
- Strengthen emergency preparedness
- Improve appropriate building technologies
- Upgrade building codes
- Improve damage assessment capacity
- Upgrade emergency shelter/services
- Organize reconstruction resources
- Prepare for institution rebuilding
- Monitor preparedness and other objectives
- Identify/evaluate best practices

[illegible]

J. Regional Development

- Analyze regional demographics and economics
- Analyze regional rural/urban relationships
- Analyze regional administrative structures
- Inventory development opportunities/constraints
- Produce/update socio/econo/enviro atlas
- Formulate regional policy for development
- Analyze facilities location/allocation
- Identify and protect critical environments
- Integrate development/conservation plans
- Integrate regional and national plans
- Monitor regional development objectives
- Identify/evaluate best practices

[illegible]

L. Public Administration

- Develop/apply governance indicators
- Analyze/synthesize all key indicators
- Identify development issues and goals
- Reformulate and integrate policies and strategies
- Develop/modify sectoral programmes
- Base capital programmes on policies/strategies
- Adopt life-cycle costing methods
- Improve project management skills
- Improve finance and budget methods
- Enhance revenue sources
- Strengthen essential laws/regulations
- Remove administrative/legal barriers
- Sensitize leadership to the public interest
- Eradicate corruption
- Monitor/evaluate programme activities
- Promote partnerships
- Adopt and support open information systems
- Monitor programme objectives
- Identify/evaluate best practices

[illegible]

