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PREPARATORY COMMITTEE FOR THE  
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(HABITAT II)

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

*Report by the Secretary General of the Conference*

*Addendum*

## INTRODUCTION

1. The quest for adequate shelter and sustainable human settlements will depend, to a large degree, on the responsiveness of governmental institutions at all levels to meet the challenges of global change and rapid urbanization. It is the task of government to ensure that problems are continuously assessed, that priorities be assigned and that institutional resources are mobilized within an overall framework of public policy. This requires a top-down approach for the purposes of cross-sectoral and inter-sectoral coordination and the assignment of priorities. It also requires bottom-up processes which reflect the priority needs as defined by people within their communities. The participation of individuals and the formation of effective partnerships are essential to both these processes in order to translate these priorities into development objectives and mobilize the human, technical and financial resources to design and implement corresponding programmes and projects.

2. Three thematic programmes are proposed which integrate the two main themes of the Conference and the multi-sectoral and cross-sectoral issues identified by the Preparatory Committee at its first session. They carry forward the practical implementation of objectives found in the declarations and plans of action from other recent United Nations conferences, notably, Agenda 21 adopted by the United Nations Conference on Environment and Development, the International Conference on Population and Development (ICPD) and the World Summit for Social Development (WSSD). They are based on the concept of enablement that is the centrepiece of implementation for the Plan of Action adopted by WSSD. The proposed means of implementation for that plan similarly focuses on issues of equity and solidarity and the need for good government where public authorities

"set the tone, in political and ethical terms, in a manner which encourages various other actors to assume their roles and discharge their responsibilities in promoting social development. The State plays a key role in shaping an enabling environment in which rights are respected, interests are reconciled, needs are met and responsibilities are shared."<sup>1</sup>

3. Thematic Programme A: Sustainable urban and regional development. This programme corresponds to the theme of sustainable human settlements development in an urbanizing world. It examines key issues and proposes actions to be taken at the national, sub-national and city levels, including the role of cities in macro-economic development and urban-rural linkages. It covers the following multi-sectoral, cross-sectoral and other issues identified by the Preparatory Committee: (a) poverty reduction; (b) environmental management; (c) gender and women's issues; (d) the urban economy and

employment; (e) social and economic dimensions of urbanization; (f) urban areas, environment and energy; (g) transport and energy; (h) urban-rural interaction and competition; (i) the role of regional, spatial/physical and urban planning; (j) conservation of natural resources, especially the preservation of freshwater resources; (k) the effects of migration on cities; and (l) coastal zone management.

4. Thematic Programme B: Sustainable shelter and community development. This programme corresponds to the theme of adequate shelter for all. It examines key issues and proposes actions to be taken at the community, village, township and city levels. It covers the following multi-sectoral, cross-sectoral and other issues identified by the Preparatory Committee: (a) poverty reduction; (b) gender and women's issues; (c) the urban economy and employment, especially the local economy and livelihood; (d) transport and energy; (e) affordability of basic shelter and services; (f) development of environmentally-friendly building materials and construction technology; (g) regularization and upgrading of informally built settlements; (h) employment-intensive shelter strategies; (i) health and environmental improvement; (j) sustainable land-use planning and management; (k) shelter for people in emergencies; (l) community participation and the informal sector; and (m) land and finance.

5. Thematic Programme C: Sustainable settlements management and governance. This programme focuses on the institutions, methods and processes that are needed to implement the objectives of the programmes under the cross-sectoral and sectoral programmes for programmes A and B, and the main elements of an international support programme for national and local capacity-building. It covers the following multi-sectoral, cross-sectoral and other issues identified by the Preparatory Committee: (a) settlements management, with reference to decentralization and the involvement of people and their organizations; (b) gender and women's issues (c) emergency preparedness, disaster mitigation, relief and reconstruction, (d) education and capacity-building; (e) equity and inclusion of vulnerable social groups; (f) research support to regional and national institutions; (g) reconstruction and revitalization of areas and settlements affected by war; and (h) participatory and consultative mechanisms. This programme also outlines a draft international support programme which recognizes that only national and local institutions are able to be in direct and continuous contact with their clients and partners, to assess on a continuous basis changing needs and demands and to respond to them in a timely manner. It is also obvious that only a large, diversified network of such institutions can respond to the immense scale and diversity of demand and needs. For this reason, the specific programmes focus on "building capacity to build capacity" through a combination of policy agreements, well-defined but flexible strategies, broad collaboration among external support agencies and between such agencies and national and local institutions. It also focuses on the continuous development of decision-support tools,

<sup>1</sup> Outcome of the Social Summit Draft Declaration and Draft Programme of Action (A/CONF.166/PC/L.13), chap. V, Sect. A, para 169.

assessment methods and instruments which help to build the capacity of national and local institutions rather than substituting for them or even competing with them.

6. The structure of the programmes adopted for the Global Plan of Action is modeled on the format of Agenda 21 and the Plan of Action of the ICPD. This structure is as follows:

- (a) Foreword
- (b) Cross-sectoral programmes
  - Basis for action
  - Objectives
- (c) Sectoral programmes
  - Basis for action
  - Objectives
- (d) Actions
  - Policy and programme development
  - Advocacy, participation and partnerships
  - Development of human resources
  - Promoting gender equity
  - Mobilizing monetary resources and financing mechanisms
  - Developing legal instruments, political leadership and government institutions
  - Developing and transferring methods and technologies
  - Improving information and communication
  - Measuring performance

7. It should be noted that the programmes and actions presented in this document are representative of the issues and priorities which have been identified thus far in the preparatory process. The source of these issues and priorities are based on the decisions of the Preparatory Committee at its first meeting, progress reports of national committees, meetings of ministers and of high-level technical experts held in all regions, the issues identified by other United Nations conferences of relevance to human settlements and urbanization, and the working experience of the United Nations Centre for Human Settlements (Habitat) and its external partners. This process will necessarily continue throughout 1995 to incorporate those priority issues and capacity-building needs of national plans of action.

## I. THEMATIC PROGRAMME A: SUSTAINABLE URBAN AND REGIONAL DEVELOPMENT

### A. Foreword

8. This programme, and its sub-programmes, addresses and integrates the following chapters of Agenda 21:

(a) Chapter 2: International cooperation to accelerate sustainable development in developing countries and related domestic policies

(b) Chapter 4: Changing consumption patterns

(c) Chapter 5: Demographic dynamics and stability

(d) Chapter 7: Promoting human settlements development

(e) Chapter 8: Integrating environment and development in decision-making

(f) Chapter 9: Protection of the atmosphere

(g) Chapter 17: Protection of seas, marine pollution

(h) Chapter 18: Protection of freshwater resources

9. It also includes cross-references to chapter 24 (Women), chapter 27 (NGOs), chapter 28 (Local authorities), and chapter 30 (Business and industry) as groups of key actors which need to be involved in the design and implementation of the programme, and it covers the issues and objectives of chapter 9 of the Programme of Action for the International Conference on Population and Development.

### ***1. Cross-sectoral programme on macro-economic policies for urban and regional development and environmental conservation***

(a) Basis for action

10. One of the key socio-economic transformations of recent decades has been the accelerated rate of urbanization and rapid growth of cities and urban areas. Such areas are expected to house more than half of the world's population by the year 2000. This process is resulting in a concentration of populations in larger cities, leading to the increasing growth of "mega-cities". There have in general been rapid increases in both the number and size of cities and urban areas in the past few decades and these, in the main, have been influenced by economic and social factors, and particularly by real and perceived employment opportunities.

***Regional Municipality of Hamilton-Wentworth, Canada: Based on the concept of the sustainable community, Hamilton-Wentworth has developed new ways of doing "business" with the government. The framework for sustainable community was developed in 1990 and incorporated the various concerns, trends and issues facing Hamilton-Wentworth. Emphasis was placed on environmental, social and economic issues. Consensus by the community for its future was reached through various activities including: Town Hall Meetings, Focus Discussion Groups, Vision Working Groups, and Implementation Teams. Eventually dubbed Vision 2020: The Sustainable Region, this case study has led to long-range planning and policy documents, including economic and transport strategies, which reflect the vision of the community of Hamilton-Wentworth.***

11. Urbanization is an integral part of the process of economic transformation and development. It is a prerequisite for the creation of a diversified economic base capable of generating the employment opportunities and income required to absorb major population increases. It is now acknowledged that cities currently generate at least 60 per cent of the gross national product, and if properly managed could develop the capacity to sustain their productivity.

12. Urbanization also poses specific economic, social and environmental problems and is at times perceived in largely negative and problematic terms. In the past, the phenomenon was widely regarded as inimical to human and national development, leading to counterproductive policies and strategies of discouraging rural-urban migration and city growth and putting near-exclusive emphasis on rural development.

13. It is now accepted that these adverse effects of urbanization are largely related to the incapacity of institutions to respond adequately to rapid change.

14. A serious problem in many countries, even in those where rapid urbanization is occurring, is the presence of underdeveloped and isolated rural regions with little or no transport and communication links to urban markets and production centres. At the same time, the geographical expansion of cities places increasing demands on their surrounding regions, particularly in terms of land, water and energy resources. Policies and programmes for integrating under-developed rural regions into the national economy require strong sub-national government institutions. Such institutions are still weak in many countries, and their effectiveness is threatened by increasing problems of political regionalism and ethnic strife. All of these concerns and demands require a regional approach to human settlements planning which places emphasis on rural-urban linkages and treats villages and cities as two ends of a human settlements continuum.

**Promoting Eco-tourism in Gujarat, India:** *The Nal Sarovar bird sanctuary is situated near Ahmedabad in Gujarat. The sanctuary is surrounded by nearly 20 villages, the economies and lifestyles of which are intricately linked to the eco-system. These communities also provide a number of support services for visitors to the sanctuary during the tourist season. In the late 1970s, due to a decline in the number of migratory birds, a committee was appointed by the Government to develop the sanctuary and the surrounding communities in an environmentally sustainable manner. The Department of Forest and the Tourism Development Corporation of Gujarat joined with the local communities to strike a balance between the economic needs of the communities and the need to maintain the eco-system to sustain the sanctuary. A joint conservation strategy was developed, including recognition of the local economy as intricately linked with the sanctuary and the areas surrounding the sanctuary.*

15. With rapid urbanization, many cities are no longer distinct entities with contiguous rural hinterlands and sharply defined boundaries. Increasingly, cities have a network of linkages that extends far beyond city boundaries. Resources arrive not only from the next valley or the next country but, indeed, from the next continent. Similarly, the disposal of cities' waste leads to the degradation of the natural environment elsewhere: aquifers, coastal zones, wetlands, animal habitat, forests and other fragile ecosystems, as well as the homelands of indigenous people.

**Gatchina St. Petersburg, Russian Federation:** *In 1990, the ecological movement "Gatchina St. Petersburg" brought together specialists to find solutions to the problem of ecological safety in the St. Petersburg region. Work was centred on the identification of a system for monitoring air environment, especially radiation levels. An automated system, "HARMON" was installed as Russia's first independent ecological monitoring system in March 1991. The monitoring system allowed for detailed analyses of ecological problems in the St. Petersburg region and brought together various government departments to improve present legislation. Together with the Committee on Ecological Problems and Rational Use of Natural Resources work began on: radiation safety, chemical and biological safety, production of foodstuffs,*

#### (b) Objectives

16. The objectives in this area of action would be:

(a) To develop and implement national macro-economic and social policies, including urbanization policies and investment strategies that support cities within the country to stimulate economic growth and employment in both rural and urban areas;

(b) To promote the active participation of isolated and remote communities in national economies and to facilitate their sustainable development;

(c) To improve living and working conditions in regional urban centres, small towns, and rural service centres;

(d) To reduce the adverse impacts of urbanization on the wider regional environments and to provide for a more rational use of regional resources;

(e) To raise awareness, by all people and their leaders, of the impacts of urbanization on their regional environment and to help translate that awareness, through participatory processes, into policies for regional environmental protection;

(f) To integrate urban and regional environmental objectives into national development plans in a participatory process that clarifies environmental, social and economic trade-offs and guides public and private investment decisions.

## **2. A2. Sectoral programme on national and sub-national land policies**

### **(a) Basis for action**

17. Programmes of land reform in both rural and urban areas and the development of national and regional land policies founded on equity and efficiency have contributed to political stability and economic development. The failure to develop effective land policies and management practices is one of the contributing factors to poverty and inequity.

18. In many regions, there are rapidly growing numbers of landless and homeless people, spontaneous settlers and squatters, displaced people, refugees and returnees. In an urbanizing world, deficits in infrastructure and services will continue to increase dramatically, unless countries overcome the political, legal, institutional, financial and social obstacles to more equitable access to land.

19. In both developed and developing countries many cities are using peripheral land at a rate and density that is unsustainable. It costs much more to provide infrastructure, public means of transport and other essential services. Because of the initial location of cities, much of the land taken for expansion is also the best agricultural land, or natural watersheds, or habitat that sustains biodiversity, or land that is situated within hazardous areas.

20. The growing disparities between escalating urban land prices and family income put land out of the reach of large segments of the population, unless land issues are addressed through a combination of public intervention and market mechanisms to ensure access to all income groups.

### **(b) Objectives**

21. The objectives in this area of action would be:

(a) To stimulate a steady, adequate and affordable supply of serviced land to meet the requirements of expanding human settlements;

(b) To overcome the barriers to land access, security of land tenure and urban land development;

(c) To plan for the use of land peripheral to cities that will minimize urban sprawl, energy use, consumption of prime agricultural land and other natural resources;

(d) To guarantee access to urban land and security of tenure for all socio-economic groups through public-private-community sector partnerships;

(e) To overcome gender disparities in the access to land and property ownership.

## **A3. Sectoral programme on planning for regional infrastructure including transport, communication, water and energy use**

### **(a) Basis for action**

22. This sectoral programme will address the need for policy integration among these four sectors to optimize the linkages and comparative advantages within regions, to capitalize fully on development opportunities, and to ensure the most effective and efficient use and conservation of natural resources.

### **(b) Objectives**

23. The objectives in this area of action would be:

(a) To modify production and consumption patterns in order to achieve a more sustainable supply and demand equation in the use of water and energy;

(b) To optimize the movement of goods, services and information through more efficient combination of transport and communication systems, including the use of management-information systems, life-cycle costing and resource flow efficiencies;

(c) To mediate between conflicting and competing demands for natural resources in order to prioritize regional infrastructure investments;

(d) To mediate equity-efficiency trade-offs in infrastructure decisions and the allocation of resources.

## **B. Actions**

### **1. Policy and programme development**

(a) Formulation of national settlements and shelter policy plans

(i) Setting national goals through broad-based consultations

(ii) Adopting national and sub-national programmes of decentralization and enablement

(iii) Institutionalizing open processes for formulating urbanization policies, national development plans and national conservation plans

(iv) Reconciling long-term goals with short-term ends

(b) Adoption of a five-year action plan for capacity-building in substantive areas

(i) Defining first steps in each substantive programme area

(ii) Identifying capacity-building requirements at all levels

(iii) Assessing institutional capacity and performance

(c) Monitoring of conditions and progress

(i) Institutionalizing feedback and adjustment mechanisms for policy and programme development between all levels of government

- (ii) Formulating and applying national indicators, statistics and surveys

## **2. *Advocacy, participation and partnerships***

### **(a) Adoption of awareness-building and civic education programmes**

- (i) Setting curricula and teaching standards
- (ii) Establishing information and communication channels and means of dissemination

### **(b) Facilitation of participatory processes**

- (i) Developing consultative techniques
- (ii) Facilitating use of interactive telecommunication and other media

### **(c) Involving vulnerable groups in development**

- (i) Holding awareness and sensitivity seminars for decision-makers
- (ii) Analysing policy documents for biases of all kinds

### **(d) Communication of information for participation**

- (i) Assessing mass media coverage of issues

### **(e) Forming public/scientific/academic partnerships**

- (i) Contracting for research
- (ii) Contracting for independent evaluations
- (iii) Utilizing training and education resources

### **(f) Forming public-sector/non-government organization (NGO) partnerships**

- (i) Identifying the legal constraints to local accreditation of NGOs
- (ii) Including NGOs as representatives of groups in decision-making

## **3. *Development of human resources***

### **(a) Training for management**

- (i) Providing training to central-agency personnel responsible for assisting municipal governments

### **(b) Training of trainers**

- (i) Assessing national and local training capacity
- (ii) Setting guidelines for performance-based training
- (iii) Disseminating training materials, methods and techniques
- (iv) Setting guidelines for evaluating training effectiveness

### **(c) Promoting general awareness and civic education**

- (i) Training teachers
- (ii) Mandating school attendance
- (iii) Providing opportunities for distance learning

## **4. *Promoting gender equity***

### **(a) Placing gender equity in the mainstream of action**

- (i) Providing consultative support to all national and sub-national development programmes in bringing gender issues into the mainstream of action
- (ii) Holding awareness and sensitivity seminars for all decision-makers
- (iii) Analysing policy documents for bias and error
- (iv) Assessing the gender impact of projects and programmes
- (v) Training for advocacy

## **5. *Mobilizing monetary resources and financing mechanisms***

### **(a) Identification of financial capacity enhancement mechanisms for shelter and settlements**

- (i) Inventorying financial capacity enhancement measures at the regional and national levels
- (ii) Establishing guidelines and criteria for revenue enhancement
- (iii) Adopting a programme of recommended practices for municipal revenue collection, including guidelines and manuals for the application of the various financial capacity enhancement measures

### **(b) Rationalizing revenue sharing**

- (i) Producing and applying needs- and performance-based criteria for establishing the municipal fair share of various central grant funds and the municipal fair share of revenues collected at the local level

### **(c) Rationalizing property taxation**

- (i) Establishing systems for real property registration and valuation using cadastral mapping techniques
- (ii) Establishing valuation, assessment, and levy rate criteria

### **(e) Involving the private sector**

- (i) Contracting out public services on a competitive basis

- (ii) Establishing appropriate public incentives for private investors
- (iii) Strengthening regulatory responsibilities
- (iv) Maintaining a competitive environment

#### **6. *Developing legal instruments, political leadership and government institutions***

- (a) Training for leadership
  - (i) Defining the civic, or public, interest
  - (ii) Raising awareness among political leaders of demand/need for public service
- (b) Creating effective administrative structures and procedures
  - (i) Strengthening metropolitan/regional authorities
- (c) Public-sector intervention
  - (i) Ensuring equity in access to arbitration, mediation and adjudication processes
  - (ii) Guaranteeing preparedness and coordination of resources for emergencies
  - (iii) Providing assistance to vulnerable groups for basic needs, job training/retraining, health and security services, education and literacy and mobility
- (d) Elimination of barriers
  - (i) Assessment of the impact of current policies, laws and standards on the disabled, vulnerable, women, children, and elderly, and on their ability to participate in development, and gain access to information, resources and justice
- (e) Solving land-tenure problems
  - (i) Identifying and eliminating legal impediments to land reform
  - (ii) Encouraging women's ownership
  - (iii) Performing audits of regulatory and management systems
  - (iv) Evaluating possible systems for occupancy and title security
  - (v) Cadastral mapping
  - (vi) Improving land-market functions

#### **7. *Developing and transferring methods and technologies***

- (a) Best practices
  - (i) Identifying, evaluating and institutionalizing appropriate methods

and technologies in all substantive programme areas

- (ii) Networking information on successful best practices for good governance, partnerships and participation

#### **8. *Improving information and communication***

- (a) Establishing management-information systems
  - (i) Developing and applying settlements and shelter indicators
  - (ii) Generating data through surveys and statistics
  - (iii) Generating and classifying geographic information
  - (iv) Strengthening analytical capacity for policy and programme development
  - (v) Monitoring of operations and management
- (b) Assessing social/economic/environmental impacts
  - (i) Analysing potential impacts of area-wide plans
  - (ii) Analysing major development proposals
  - (iii) Testing and disseminating standard techniques
  - (iv) Institutionalizing the use of assessments
- (c) Gaining access to information
  - (i) Upgrading telecommunication technology and other media
  - (ii) Improving the sharing of information between sectoral agencies and organizations
  - (iii) Eliminating censorship and control of the mass media

#### **9. *Measuring performance***

- (a) Measuring performance
  - (i) Adopting performance indicators to measure and compare coverage, efficiency and quality of urban service delivery
  - (ii) Establishing output measures for programmes in each substantive area II. Thematic programme B: Sustainable Shelter and Community Development

## **II. THEMATIC PROGRAMME B: SUSTAINABLE SHELTER AND COMMUNITY DEVELOPMENT**

### **A. Foreword**

24. This programme, and its sectoral sub-programmes, addresses and integrates the following chapters of Agenda 21:

- (a) Chapter 3: Combating poverty
- (b) Chapter 4: Changing consumption patterns
- (c) Chapter 6: Protecting and promoting human health
- (d) Chapter 7: Promoting human settlements
- (e) Chapter 10: Planning and management of land resources
- (f) Chapter 21: Solid waste and sewage-related issues

25. It also includes cross-references to chapter 24 (Women), chapter 27 (NGOs), chapter 28 (Local authorities), chapter 26 (Recognizing and strengthening the role of indigenous people and their communities), and chapter 30 (Business and industry) as key groups of actors which need to be involved programme design and implementation.

**1. B1 Cross-sectoral programme on local economic development and employment**

**(a) Basis for action**

26. Employment should produce a fair return on time and energy expended in economic activity, which in turn enables the individual and the household to, *inter alia*, provide for their own basic needs, to participate in local, national and global commercial transactions and development and to achieving dignity and self-fulfilment. Employment is therefore critical to the improvement of living environments everywhere, and the failure to provide employment opportunities will act as a barrier to longer-term economic and social development and have potentially destabilizing social and political effects.

27. Recent studies have shown that small- and medium-sized enterprises, many of which have no link to formal economic support structures such as venture capital and banking, are the mainstay of local and regional economies. They have the potential capacity to meet local demand efficiently, to absorb labour at a scale required in urban areas and in rapidly urbanizing regions, and to accumulate capital at the local level. Sustainable local economic development will, therefore, depend to a large extent on policies and strategies which actively promote and support small-scale entrepreneurs and community and cooperative enterprise and which provide the incentives for capital accumulation to be re-invested at the local level. These policies must seek to enhance and improve productivity, product quality and business management practice. These policies cannot be divorced from public investments in infrastructure, transport and communication, energy and water, and the social services needed to sustain the labour force. They must be developed and implemented in a true spirit of partnership where investment decisions by the public and the private sectors are mutually supportive.

*Alexandria, Egypt: The small and micro enterprise sector (SME) plays a dynamic role in the Egyptian economy. After study by an international donor agency, it was realised that the productivity of the SME was hampered by lack of access to formal credit and excessive collateral requirements. An SME project was designed to leverage funds and increase productivity of SMEs nation-wide. The Alexandria Businessmen's Association (ABA) developed the SME project to provide credit and remove regulatory constraints inhibiting growth in the SME sector. The target group of the project were men. In 1993, the ABA realised they were missing half of their potential market - women. Statistics related to the SME project were disaggregated by sex and training and technical courses were offered based on the different gender roles of men and women. The availability of ABA loans to women marked a dramatic difference in the lives of men and women involved in the project. Loans were offered to women on the same terms as men. This led not only to an increase in female entrepreneurs but to increases in employment, overall production and wages for both men and women in Alexandria City.*

28. Another major characteristic common to many countries is the increasing "feminization" of the labour force. The share of female labour has increased in many urban areas, with women often entering the economic cycle at its lowest end. The disparities between employment opportunities, access to finance, and levels of remuneration, together with the increasing number of women-headed households in urban areas, has created a "feminization" of urban poverty. Specific policies and programmes need to be established to guarantee, *inter alia*, gender equity in access to finance, resources, dignified employment and the physical and social infrastructure required to support the specific needs of both women and men.

**(b) Objective**

29. The objective in this area of action would be:

(a) To formulate and implement integrated urban and settlements development policies which go beyond the provision of housing and essential services and focus on instruments and measures designed to promote urban economic growth and accelerated employment-generation;

**2. B2. Cross-sectoral programme on reduction of poverty and exclusion**

**(a) Basis for action**

30. Urban poverty is closely associated with the rapid pace of urbanization and socio-economic change. Worldwide, more than one billion people live in absolute poverty; more than one hundred million are officially unemployed and many more are under-employed. Unemployment and under-employment are the result of a combination of exclusions which are exacerbated by inappropriate policies for resource distribution,

investment and regulation across all sectors. Therefore, there is a critical need for policy integration to address the problems resulting from various forms of exclusion:

- (a) From the economy (unemployment);
- (b) From the political, social and cultural mainstream (marginalization, discrimination, and homelessness);
- (c) From security networks (vulnerability);
- (d) From the development process (poverty).

*Fondation Abbé Pierre, France: Working from a strong support network that includes government departments, local NGOs, and private individuals, Fondation Abbé Pierre in conjunction with Boutique Solidarité (Solidarity Association) of Bourges has been active (since 1993) in meeting the daily needs of the homeless. The aim of the project is to assist homeless members of the community to become self-sufficient. Located in the centre of one town, the Association listens to the problems of people and proposes realistic ways to solve them. It also provides laundry and bathing facilities, and information on health care, jobs and accommodation. The Association helps people willing to help themselves and freeloading is strongly discouraged. Fondation Abbé Pierre is carrying out similar programmes in Marseilles, Perpignan and Grenoble.*

31. The rapid rate of urbanization and an increasingly competitive world economy implies that poverty will become increasingly an urban phenomenon. In an urbanizing world the income of the poor will largely be earned in the semi-formal and informal sectors, while their living conditions will depend on the availability, access and quality of services, infrastructure and housing. The urban poor are also major victims of increasing urban violence. In a period of increasing decentralization, the capacity of local authorities should be strengthened to promote and coordinate such programmes.

**(b) Objectives**

32. The objective in this area of action would be:

- (a) To establish policies and strategies for the reduction of poverty and exclusion that would be implemented through cooperation among all other stakeholders and sectoral institutions and agencies.

**3. B3. Cross-sectoral programme on civic engagement and community-based development**

**(a) Basis for action**

33. The community exists at a human scale where development need not be compartmentalized by sector but approached holistically by engaging the people who live there. Civic engagement becomes a reality first in the community as citizens work together to solve common problems, contributing their own time, energy and

resources. To capitalize on the interest, potential contribution and commitment of individuals and groups, community-based development must be encouraged through the enablement strategy where participation and partnerships flourish and where the public and private sectors provide guidance, assistance and resources.

*South Bronx, New York City: "Don't Move, Improve" is a community-owned and governed urban revitalization project in the South Bronx, United States of America. Ongoing since 1977, "Don't Move, Improve" innovated a comprehensive community development model linking health, day-care, economic education, housing, environment, transport and capital development. Some achievements of the project include: raising or leveraging US\$ 100 million of investment in the community; rehabilitating or constructing over 2,500 units of safe, affordable housing; technical and financial assistance to 1,500 cooperative home owners; energy conservation technology for over 8,000 housing units; providing education, skills training and job placement to community youth; assisting 125 small businesses with technical assistance and financial support; developing the South Bronx Community Health Project for pediatric and adolescent health care. The "Don't Move, Improve" community model has been replicated nationally in the United States as Youthbuild.*

34. However, civic engagement, participation and partnerships all require a degree of awareness and a flow of information. The public sector has a major role to play in promoting awareness of issues of direct relevance and impact to the community and to render accessible information pertaining to how resources and actions will affect their livelihoods, economic opportunities, social structure and immediate environments. This requires a commitment to educating people in the use of information in making personal decisions and community choices. It also requires a commitment to render transparent local decision-making and resource allocation processes and to translating community priorities into urban programmes and projects.

**(b) Objectives**

35. The objectives in this area of action would be:

- (a) To generate livelihood opportunities for men and women in the formal and informal sectors;
- (b) To promote community-based development through the facilitation and integration of community actions within the overall municipal planning, programming and budgeting systems;
- (c) To train and employ men and women to facilitate the involvement of the community in improvement of their own environments;
- (d) To support the involvement of the local private sector, including community contractors, in the provision of basic public goods and services;

(e) To facilitate access to housing, infrastructure and services by the urban poor with due regard to the different needs of men, women and boys and girls.

#### 4. *B4. Sectoral programme on housing policies, institutions and regulations*

##### (a) *Basis for action*

36. The formulation of a national housing policy and the design of a shelter-delivery system are essential to meeting the goal of Habitat II, i.e., to make cities and communities safer, healthier, more equitable and sustainable. An underlying principle of an effective housing policy is to integrate it with macro-economic policy. The performance of the housing sector strongly depends on the overall national economic performance, while, at the same time, it needs to be recognized as a major factor of production and a major component of the gross domestic product. A feasible housing policy can only emerge from a continuous dialogue and consultative process among all consumers, producers and policy-makers. Housing policies should not only focus on home-ownership but also on the rental market in order to respond to effective demand. Housing institutions, be they public or private, should be designed to assess trends and linkages between the housing sector and the economy, including the flow of resources to set policies and priorities for investment and regulation, to ensure access by all stakeholders to information of relevance to their roles, and to monitor activities in the sector for their policy and programme implications.

*Building Together Programme, Namibia: Namibia inherited a skewed pattern of settlements development at the time of independence in March 1991. Upon realization of the dismal housing situation, both urban and rural, the Government embarked upon the Build Together Programme (BTP). The objective was to make resources available for the development of infrastructure and facilities so that every Namibian family would have a fair opportunity to acquire serviced land as well as gain access to shelter in suitable locations at costs and standards affordable to families and the Government. The BTP is part of the National Housing Policy: to respond to the needs of people while enabling their full participation in decision-making responsibilities. The BTP is implemented and monitored by local authorities and communities together. The role of the Government is to facilitate while citizens decide on their needs and act on them. The BTP is open to all, including the private sector, NGOs and CBOs. Beneficiaries of the programme are primarily low-income families who now have access to serviced plots, shelter and credit from lending institutions.*

##### (b) *Objectives*

37. The objectives in this area of action would be:

###### (a)

To create and strengthen an enabling framework which is capable of regulating and providing incentives to the housing market, in response to effective demand;

(b) To provide specific support to the poor, disadvantaged and vulnerable groups whose demands for adequate shelter are not met by existing housing markets;

(c) To establish management information systems for assessment of policy-making and monitoring of the housing sector in the broader economy.

#### 5. *B.5 Sectoral programme on housing finance*

##### (a) *Basis of action*

38. Housing finance is not only a key to stabilizing the overall economy. It regulates the demand and supply of housing. At the same time, it encourages households to rationalize their savings, investments and consumption. However, the mortgage-finance sector caters to the conventional market and does not respond creatively to the differentiated needs and effective demands of large segments of the population. An effective housing-finance policy must be based on an assessment of existing and potential demand for home-ownership and home rental, and provide the incentives, tools and instruments to match supply and demand in both markets.

*Bangkok, Thailand: The Government Housing Bank (GHB) has played a key role in the development of Thailand's housing sector. The GHB has brought together the private sector, lending institutions, governments and home buyers to improve housing affordability in Thailand. It fostered partnerships which created interdependence among stakeholders to deliver a home to buyers. This created demand which led to a decrease in housing prices. The GHB has been able to break away from traditional practices and initiated a new savings deposit scheme with higher interest rates resulting in a substantial in-flow of funds. In offering low-denomination, low-interest loans and home buyers and developers alike the GHB has provided less restrictive access to borrowers and, as a result, forced commercial lenders to follow suit.*

39. Governments, in both developed and developing countries, have valued and encouraged direct as well as indirect subsidies to provide incentives and rewards to the market and as a safety net for the poor and vulnerable. However, these subsidies must be rendered transparent and closely linked to public policy.

##### (b) *Objectives*

40. The objectives in this area of action would be:

(a) To develop efficient, competitive and sustainable housing mortgage-finance systems which contribute to increasing the demand and supply of housing for all income groups;

(b) To provide effective safety nets and incentives through the improved management of direct and indirect subsidies based on public policy and sound economic analysis.

#### 6. B.6 Sectoral programme on land for housing

##### (a) Basis for action

41. Land-use planning and zoning, land-use regulation and taxation, and the system of property rights and contracts are keys to the extension of access to land for urban use. Their effective application by local authorities, together with the provision of key infrastructure services, will determine availability, affordability and accessibility of land for housing. The timing of infrastructure provision must be optimized *vis-à-vis* the pattern of development to both guide new growth and to avoid costly acquisition and expropriation.

**Municipality of Belo-Horizonte, Brazil:** *The strength of Community organizations in Belo Horizonte led to the enactment of a law that recognized the rights of squatter settlements and provided the framework for the regularization of land tenure. This legislation is known as PROFAVELA. Community-based organizations (CBNs) have worked closely with project teams and have made their voice heard through their umbrella organization - the União dos Trabalhadores da Periferia (Union of Peri-Urban Workers). One of the innovative features of PROFAVELA legislation has been the special attention paid to the rights and needs of women. Women were recognized to be, far more than men, the cohesive force that hold families together in low-income settlements (the favelas), and since relatively few couples are officially married, preference is given to women in the issuance of property title deeds. In the case of women-headed households, all previously existing legal and regulatory obstacles to the issuance of a title deed to the head of the household have been removed.*

42. The capacity of local governments, in both developed and developing countries, must be strengthened to apply the above-mentioned instruments to guide and regulate land use and development in economically, socially and environmentally sustainable patterns that include housing for low-income populations. These instruments must be rendered transparent to and understandable by the community and closely linked to public policy.

##### (b) Objectives:

43. The objectives in this area of action would be:

(a) To promote systems of sustainable land management and efficient land-management mechanisms which are capable of ensuring a steady, adequate and affordable supply of serviced land to meet the requirements of expanding human settlements (particularly to the urban poor);

(b) To overcome the fundamental problems of access to land, security of land tenure and urban land development;

(c) To promote the roles of the public, private and community sectors in improving access to urban land and security of tenure of all socio-economic groups;

(d) To address the specific concerns of women and to facilitate their access to land and property ownership;

(e) To empower local governments to facilitate and encourage sustainable land development through an urban land taxation policy and other incentives.

#### 7. B7. Sectoral programme for construction of housing and infrastructure

##### (a) Basis for action

44. The construction industry plays a key role in economic development and is an important contributor to capital formation in every country. Indirectly, the sector stimulates all other sectors through multiplier effects and through significant contributions to employment generation. In situations of rapid urbanization, it is imperative that public policy and private investment ensure an adequate supply of labour, building materials, construction technology and bridging finance to avoid the bottle-necks and distortions which inevitably affect the poor and the disadvantaged and inhibit the development of the domestic and local economy.

**SAHEL, Dakar, Senegal:** *Sixty per cent of the construction and building of Senegalese towns is carried out by the informal sector. There is little or no training for construction workers; training is "hands-on" through apprenticeships, where minimal training is available. Poor or out-dated construction skills are passed on since there is no monitoring of the informal construction sector. SAHEL initiated a project to promote the training of workers already involved in the construction sector in order to improve their theoretical knowledge of basic principles of construction. Building errors and unreliable practices are in the identification process. After SAHEL, Dakar, Senegal: Sixty per cent of the construction and building of Senegalese towns is carried out by the informal sector. There is little or no training for construction workers; training is "hands-on" through apprenticeships, where minimal training is available. Poor or out-dated construction skills are passed on since there is no monitoring of the informal identification, seminars will be held to train construction workers of better ways to build. construction sector. SAHEL initiated a project to promote the training of workers already involved in the construction sector in order to improve their theoretical knowledge of basic principles of construction. Building errors and unreliable practices are in the identification process. After identification, seminars will be held to train construction workers of better ways to build.*

45. Although many of these issues are systemic and need to be addressed at the national level, their practical solutions must be applied at the local and community levels. Specific areas for policy analysis and formulation include strengthening building-inspection and quality-control functions, training and upgrading of construction and site-management skills, encouraging competitive practices, and segmenting the local market for the operation and maintenance of public facilities, infrastructure and basic services to enable the participation of local entrepreneurs.

(b) *Objectives*

46. The objectives in this area of action would be:

(a) To ensure adequate capacity for building, operating and maintaining housing and physical infrastructure in an environmentally sound manner;

(b) To enhance the overall performance of the construction sector by improving its productivity, energy-efficiency and the quality of output;

8. B8. Sectoral Programme for Environmental Infrastructure and Services

(a) *Basis for action*

47. By 1990, some 243 million people were lacking access to drinking water and 377 million were without sanitation in urban areas alone; and this number is steadily rising. Many cities are also choking with waste, with many unable to remove more than a third of the waste generated daily. The lack of adequate services continues to exact a heavy toll on human health, productivity and the quality of life, particularly for the urban and rural poor.

*City of Santafé de Bogotá, Colombia: Colombia has approximately 50,000 scavenger families (recicladores) that earn their livelihood in collecting solid waste. A 1986 programme was launched to organize the recicladores in local associations (Asociación Nacional de Recicladores (ANR) by a local NGO. The purpose was to help recicladores improve their working conditions through enhancing their transport and quality-control systems. The programme also addressed social needs such as child education, assess to the social security system and issues related to women. Since 1986, ANR has benefited 25,000 families in 15 Colombian municipalities. It has implemented facilities for storing the waste and has developed solid-waste management systems within communities. The process of organization, provision of equipment and use of appropriate technologies has resulted in a 30 per cent increase in the revenues of the recicladores. Social security has been made available and "houses" have been provided in the main cities for the education of children, training or re-training of adults and as meeting centres.*

48. However, many of the technical and institutional solutions which have been tried have not proved to be effective. They have adopted a linear view of production, consumption and disposal rather than a cyclical view where modes of production, patterns of consumption and methods of disposal are addressed as a closed system. Such a system should have as its main characteristic, the minimization of waste and the maximization of re-use and re-cycling.

49. Local authorities and communities have a primary role in influencing waste-management systems, including consumption patterns. Their capacity to manage, operate and maintain environmental infrastructure and services must be strengthened and supported at the national and regional levels through appropriate environmental policy. However, there are a host of partners at the local level which can share responsibilities with local authorities. The involvement of the private sector in the provision of environmental infrastructure and the delivery of service needs to be promoted within prevailing institutional and legal frameworks. The involvement of community-based organizations and citizens groups needs to be systematized through support structures at the municipal level and legitimized through the planning, programming and budgeting process. The involvement of the scientific and academic community also needs to be strengthened to undertake systems analysis and to do impact assessments and the assessment of new technologies.

(b) *Objectives*

50. The objectives in this area of action would be:

(a) To balance the supply of environmental infrastructure and services (water, sanitation, drainage and waste management) with effective demand;

(b) To ensure environmentally-sound management of water resources by establishing priorities on competing uses and demands;

(c) To strengthen the capacity of local authorities to analyse the prevailing modes of production and consumption, and to rationalize the implementation of re-use, re-cycling and disposal systems;

(d) To evaluate and adopt environmental management systems which include the active participation and contribution of the private and community sectors.

9. B9. Sectoral programme on transport and communication

(a) *Basis for action*

51. Transport and communication are essential to the life of cities. How people, goods and ideas move throughout the city determines the efficiency of the local economy, the equity in its social relationships and the quality of the living environment. Urban growth in the latter half of this century is straining the capacity of

existing transport and communication systems. Congestion and environmental pollution, largely the consequence of massive motorization, have reached unprecedented levels and are beginning to affect economic productivity and health in cities of both developed and developing countries.

**Municipality of Tehran, Islamic Republic of Iran:** *Tehran, by its own admission, is one of the most polluted cities in the world. The Municipality has undertaken several initiatives to improve physical infrastructure and management of urban transport operations. The strategy centres on the reduction of carbon monoxide emissions. Tehran Municipality will convert 1500 diesel-fuelled buses to compressed natural gas (CNG). The Municipality also enforces a mandatory emissions inspection and control programme for motor vehicles permitted to enter the city's Restricted Traffic Zone (RTZ). The RTZ was established in 1983 to reduce traffic in the city centre. Lanes have been specifically designated for buses. As a result, urban bus services, including ridership and average trip time, have increased in the last three years by 35 per cent. A "Park and Ride" facility with a capacity of 200 cars has also increased bus ridership. The air pollution problem has put the development of green space on the list of priorities for Tehran. Since 1989, the green space per person has increased from 2.5m<sup>2</sup> to 10m<sup>2</sup> in 1993.*

52. Recent advances in communication, information and transport technologies allow for a complete re-assessment of transport-communication systems including substitution of physical transport by information. Moreover, these advances present new opportunities for the spatial organization of settlements and urban activities, which in turn can affect consumption and production patterns and the sustainable use of resources.

53. Local authorities and planning agencies have a major role and responsibility in ensuring equitable access and mobility throughout the city. NGOs and CBOs as community intermediaries, and the private sector as providers of systems, can help ensure equitable distribution and access to transport and communication systems by all citizens. They need to be part of the decision- and policy-making processes because of their roles in the supply and demand equation.

(b) Objectives

54. The objectives in this area of action would be:

(a) To strengthen the capacity of local authorities and planning agencies to analyse the prevailing modes of transport and communication, and to rationalize the implementation of integrated and energy-efficient urban transport and communication networks and services;

(b) To balance transport and land-use patterns in order to respond better to the mobility and information needs of all people in a dynamic and sustainable manner;

(c) To strengthen the capacity of both the public and private sectors for the transfer of information and transport technology and the development, operation and maintenance of integrated transport-information systems.

10. **B10. Subprogramme for Social Infrastructure and Services**

(a) Basis for action

55. Cities are social networks which require support systems to maintain and promote social integration, cultural development, stability, security and a sense of community. Disease, illiteracy, lack of justice, crime and violence are often indicators of the breakdown of social networks and the disintegration of support systems. The increasing demand on resources to relieve the symptoms of social breakdown have an ultimate impact on the city's economic functions. The aim of this programme is to make the city socially and economically sustainable by ensuring that support systems are accessible to all people.

56. There is a need to re-assess the cost-effectiveness of social-support systems with regard to their impact on the social, economic and environmental functions of the city and to re-establish the linkage between social infrastructure/services and the economic life of the city. This link is strongest at the community level where livelihood and civic solidarity are highly dependent on all members of the community being able to play an active and productive role.

**Ankara, Turkey:** *Based on mother-child health, this case study incorporates income generation, environmental upgrading, social infrastructure and child development. Self-reliance in the community has increased since the inception of the project in 1993. The mothers were involved in decision-making process, along with representatives of the United Nations Children's Fund, the State Planning Organization, and the Greater Ankara Municipality. Initial results show that the capacity of mothers to improve their living environments has increased. This has been facilitated by behavioural change among grassroot and government managers towards urban poor mothers. This has resulted in an overall improvement of the health of the community, primarily as the result of the advent of day-care centres and the upgrading of the sanitation facility.*

57. Local authorities, sectoral agencies responsible for education, human welfare, justice and security, have a major role and responsibility in ensuring equitable access to social infrastructure and services throughout the city. NGOs and CBOs as community intermediaries, and the private sector as providers, can help design and deliver services that are responsive to particular segments of the population. These include the economically-vulnerable, the uneducated and untrained, and the disabled.

58.

The design and delivery of social services must be differentiated to respond to the special needs of both women and men and to respond to the special needs of children and youth.

**(b) Objectives**

59. The objectives in this area of action would be:

(a) To strengthen the capacity of local authorities, NGOs and the private sector to engage in a process of consultation and mediation to set local standards of service and of quality of life in the areas of basic education, training, preventative and primary health care, public safety and drug rehabilitation;

(b) To integrate community-based standards and priorities with the central planning, budgeting and delivery systems at both city and metropolitan levels.

(c) To make available to the unserved women, men and children in all cities adequate and affordable, community-based health care, education and training at a rate which fulfil the demand by the year 2020;

(d) To make available to all people in cities an impartial and humane system of justice independent from political influence (the necessary constitutional and statutory changes should be in place by the year 2000);

**B. Actions**

**1. Advocacy, participation and partnerships**

**(a) Awareness-building and civic education**

- (i) Promoting civic engagement, citizenship, rights and responsibilities through the local media, town-hall meetings, schools
- (ii) Promoting awareness of sustainable economic development and the quality of life
- (iii) Promoting principles of equity, security and solidarity

**(b) Facilitation of participatory processes**

- (i) Developing consultative techniques
- (ii) Using interactive telecommunication and other media
- (iii) Employing visioning and goals-setting methods
- (iv) Institutionalizing community action planning

**(c) Including vulnerable groups in development**

- (i) Holding awareness and sensitivity seminars for decision-makers
- (ii) Analysing documents for bias
- (iii) Assessing the social impact of projects and programmes
- (iv)

Training for advocacy (re: children, disabled, elderly)

**(d) Communication of information for participation**

- (i) Assessing mass media coverage of issues
- (ii) Networking among participants
- (iii) Identifying effective communication techniques
- (iv) Learning and applying survey methods

**(e) Facilitation of cooperative group formation**

- (i) Applying techniques for establishing common objectives
- (ii) Communicating and networking
- (iii) Learning and applying facilitation, mediation and negotiation processes
- (iv) Supporting community-based strategic action planning
- (v) Learning accounting and bookkeeping

**(f) Forming public/scientific/academic partnerships**

- (i) Contracting for research
- (ii) Contracting for independent evaluations
- (iii) Utilizing training and education resources

**(g) Forming public-sector/NGO partnerships**

- (i) Identifying the legal constraints to local accreditation of NGOs
- (ii) Contracting to NGOs as providers of public services
- (iii) Including NGOs as representatives of groups in decision-making

**2. Development of human resources**

**(a) Training for management**

- (i) Training municipal managers and technicians in all aspects of municipal management, including planning, programme formulation, finance, budgeting, project design and management, auditing, evaluation, facilitation techniques and personnel management

**(b) Increasing general literacy and education**

- (i) Teaching basic reading, writing and communication skills
- (ii) Teaching critical abilities
- (iii) Analysing school facilities location/allocation

**3. Promoting gender equity**

- (a)

action Placing gender equity in the mainstream of

- (i) Providing consultative support to urban and community development programmes in bringing gender issues into the mainstream of action
- (ii) Holding awareness and sensitivity seminars for all decision-makers
- (iii) Analysing documents for bias and error
- (iv) Developing, testing and applying a gender-impact assessment methodology to policies, programmes and projects in all sectors.

#### **4. Mobilizing monetary resources and financing mechanisms**

(a) Identification of financial capacity enhancement mechanisms for shelter and settlements

- (i) Inventorying financial capacity enhancement measures at the local level

(b) Recovering costs

- (i) Identifying and applying appropriate measures for recovering costs of public services

(c) Involving the private sector

- (i) Contracting out public services
- (ii) Establishing appropriate public incentives for private investors
- (iii) Strengthening regulatory responsibilities
- (iv) Maintaining a competitive environment
- (v) Eliminating corruption in public/private relationships

#### **5. Developing legal instruments, political leadership and government institutions**

(a) Training for leadership

- (i) Holding workshops/seminars to inform local elected officials and municipal officers of their responsibilities and options under the law
- (ii) Raising awareness among political leaders of demand/need for public service
- (iii) Supporting the spirit of public service
- (iv) Exploring the relationship between ethics and the flow of information

(b) Promoting public service

- (i) Defining the rights/responsibilities of civil servants, elected/appointed officials, the public and interest group
- (ii) Matching municipal pay scales and incentives with performance

(c) Creating effective administrative structures and procedures

- (i) Supporting community councils

(d) Setting and applying guidelines and rules

- (i) Applying goals-setting and visioning processes for policy-making and performance criteria;
- (ii) Applying arbitration and mediation as alternatives to adjudication
- (iii) Strengthening inspection and monitoring systems

(e) Public-sector intervention

- (i) Ensuring equity in access to arbitration, mediation and adjudication processes
- (ii) Guaranteeing preparedness and coordination of resources for emergencies
- (iii) Providing assistance to vulnerable groups for basic needs, job training/retraining, health and security services, education and literacy and mobility
- (iv) Providing mechanisms for ensuring equitable allocation of resources

(f) Elimination of barriers

- (i) Assessment of the impact of current policies, laws and standards on the disabled, vulnerable, women, children and elderly and on their ability to participate in development, and gain access to information, resources and justice

#### **6. Developing and transferring methods and technologies**

(a) Best practices

- (i) Identifying, evaluating and institutionalizing appropriate methods and technologies in all substantive programme areas
- (ii) Networking information on successful best practices for good governance, partnerships and participation

#### **7. Improving information and communication**

(a) Establishing management-information systems

- (i) Developing and applying settlements and shelter indicators
- (ii) Generating data through surveys and statistics
- (iii) Generating and classifying geographic information

- (iv) Strengthening analytical capacity for policy and programme development
- (v) Monitoring of operations and management
- (b) Assessing social/economic/environmental impacts
  - (i) Assessing potential impacts of projects
  - (ii) Assessing potential impacts of local development proposals
- (c) Gaining access to information
  - (i) Networking among citizens and interest groups

### 8. Measuring performance

- (a) Measuring performance
  - (i) Institutionalizing participatory processes for establishing municipal and community service delivery needs and standards
  - (ii) Developing and applying survey instruments for measuring client group satisfaction
  - (iii) Adopting performance indicators to measure and compare coverage, efficiency, and quality of urban service delivery

## III. THEMATIC PROGRAMME C: CAPACITY-BUILDING FOR SUSTAINABLE SETTLEMENTS MANAGEMENT AND GOVERNANCE

### A. Foreword

60. This programme addresses and integrates the following chapters of Agenda 21:

- (a) Chapter 24: Global action for women towards sustainable and equitable development
- (b) Chapter 25: Children and youth in sustainable development
- (c) Chapter 27: Strengthening the role of NGOs
- (d) Chapter 28: Local authorities initiatives
- (e) Chapter 29: Strengthening the role of workers and their trade unions
- (f) Chapter 30: Strengthening the role of business and industry
- (g) Chapter 31: Scientific and technological community
- (h) Chapter 33: Financial resources and mechanisms
- (i)

Chapter 34: Transfer of environmentally-sound technology, cooperation and capacity-building

(j) Chapter 36: Promoting education, public awareness and training

(k) Chapter 37: National mechanisms and international cooperation for capacity-building in developing countries

(l) Chapter 40: Information for decision-making

(a) *Basis for Action*

61.

Good governance and management, at all levels, include the facilitation of decision-making and resource allocation processes that are inclusive, transparent, open and equitable and which rely heavily on the active participation of a diverse group of individuals and of key actors. The Commission on Global Governance (CGG) has defined governance as

"the sum of the many ways individuals and institutions, public and private, manage their common affairs. It is a continuing process through which conflicting or diverse interests may be accommodated and co-operative action may be taken. It includes formal institutions, as well as informal arrangements that people and institutions either have agreed to or perceive to be in their interest."

**London, United Kingdom:** *The Big Issue is a newspaper sold by homeless people on the streets of London and other British cities. Its aim is to create income for homeless people while providing a combination of arts, news, international issues, and social comment to over 250,000 readers each week. Since the first issue was distributed in September 1993, over 6000 homeless people have been able to help themselves and move off the street through selling the newspaper. The Big Issue also keeps the issue of homeless in the paper and has given homeless people a voice. This has led to changes in the way government views homeless people and the paper has highlighted ways government can approach the problem of homelessness. The paper has challenged media perceptions of homelessness as well as creating a forum where issues of the homeless can be discussed. The Big Issue has paved the way for 40 street papers in 11 Western European countries, one paper in Eastern Europe (St. Petersburg) as well as Homeless Talk in Johannesburg, South Africa. Approximately fifty street papers now operate in Canada and the United States.*

"Examples of governance at the local level include a neighbourhood co-operatives formed to install and maintain a standing water pipe, a town council operating a waste recycling scheme, a multi-urban body developing an integrated transport plan

together with user groups, a stock exchange regulating itself with national government oversight, and a regional initiative of state agencies, industrial groups, and residents to control deforestation. At the global level, governance has been viewed primarily as intergovernmental relationships, but it must now be understood as also involving non-governmental organizations, citizens' movements, multinational corporations, and the global capital market. Interacting with these are global mass media of dramatically enlarged influence."

**Chattanooga, United States of America:** *In 1969, Chattanooga was the worst polluted city in America. In 1990, it was recognized as that country's best turn-around story. Chattanooga's success story is based on its commitment to sustainable community development that has emerged from a shared vision of what citizens want for the future and lessons from the past. Cleaning up the air, rebuilding the economy and revitalizing a city in decline prove that economic development and environmental leadership can be achieved simultaneously. Efforts by government, business, community organizations and citizens have resulted in cleaner air and a comprehensive, interrelated and strategic process for developing a sustainable community.*

62. The CGG further describes governance as "a broad, dynamic, complex process of interactive decision-making that is constantly evolving and responding to changing circumstances. . . ."

"Effective decision-making," in the view of the CGG, "thus needs to draw on the skills and resources of a diversity of people and institutions at many levels. It must build partnerships -- networks of institutions and processes -- that enable . . . actors to pool information, knowledge, and capacities and to develop joint policies and practices on issues of common concern.

**Norway:** *In 1989, the Government of Norway developed a project that emphasises the role of women in the municipal planning process. Six municipalities have participated in establishing due consideration for women's perspective in municipal plans. Areas which received special attention by the municipalities include: environment, day-care, employment, transport and culture/recreation. The project has been successful in changing attitudes and values of men and women as well as ensuring the inclusion of women's perspective in municipal planning.*

"This will involve reforming and strengthening the existing system of intergovernmental institutions, and improving its means of collaboration with private and independent groups. It will require the articulation of a collaborative ethos based on the principles of consultation, transparency and accountability. . . ."

" . . . governance can only flourish, however, if it is based on a strong commitment to principles of equity and democracy grounded in civil society."<sup>2</sup>

63. From this, it is clear that governance and management for human settlements is central to the Global Plan of Action and that the strategy to enable all people, their organizations and their governments to work together in improving their living environments is a strategy for capacity-building. The successful implementation of all other substantive programmes under the headings of the first two thematic programmes is critically dependent on capacity-building for governance and management in developed as well as developing countries.

64. An often neglected component of management is preparation for and mitigation of natural and human-made disasters. Recent experiences in both developed and developing countries have shown that in times of emergency whole systems of management can disintegrate and institutions may cease to function, resulting in an inability for public and private sectors to respond effectively. A model which has proved effective in times of widespread disaster is one based on individual and community responsibility in a non-hierarchical rapid response and relief system.

65. In anticipation of emergencies, particularly in the case of natural disasters, land-use planning and regulation of construction can be most effective in mitigating potential impacts on life and property. Special attention must be paid to reducing vulnerability of settlement location and especially of the poor within settlements who are often most at risk.

66. Capacity-building may be implemented through, among many other means, extension courses, training and research programmes, policy-setting by legislative and parliamentary bodies, NGO advocacy, telecommunication, civic education, cooperative action by community groups, and international cooperation.

67. The following is a set of capacity-building objectives (and associated actions) for improved governance and management which should be on the agenda for in-country consultations at the national and sub-national levels. In addressing these objectives, any key group may initiate the debate among partners at each level in order to set priorities for capacity-building programmes that are specific to the needs of the locality, region or country.

(b) *Objectives*

68. The major objectives of this programme include:

(a) To create conditions for all men and women equally to exercise their rights and responsibilities through

<sup>2</sup> These quotations and supporting arguments may be found in *Our Global Neighbourhood: The Report of the Commission on Global Governance* (Oxford, Oxford University Press, 1995).

effective participation in settlements and shelter development decisions;

(b) To support the formation and building of partnerships among individuals, authorities and key groups in order to enhance the effectiveness of participation in the urbanization process;

(c) To motivate and support key groups and to modify institutional structures, if necessary, to increase responsiveness to the needs of people;

(d) To instil a strong sense of public service among political leaders, managers and others who work in the public sector;

(e) To build capacity for effective leadership, management and operations at all levels;

(f) To institutionalize accountability in order to guarantee that public resources and decisions are directed toward priority needs with fairness to all;

(g) To strengthen the normative functions including setting of goals, policies, standards, rules and regulations with particular attention to reducing vulnerability to disasters;

(h) To strengthen the capacity of government at all levels to rectify inequitable, unsafe and unhealthy living conditions, including enhancement of emergency preparedness and disaster mitigation functions;

(i) To mobilize and manage financial resources in an open, transparent and accountable manner;

(j) To eliminate barriers to effective mobilization of human, technical, institutional and financial resources at all levels;

(k) To foster universal literacy, continuous civic education and awareness;

(l) To ensure access to accurate, usable and timely information by all people, by leaders and government managers and by all the participants in the urbanization process;

(m) To adopt mutually consistent settlements and shelter policies and programmes which carry forward the strategy of enablement.

## **B. Actions**

### **1. Policy and Programme Development**

#### **(a) Monitoring of conditions and progress**

- (i) Formulating and applying community, city and national indicators; statistics and surveys
- (ii) Institutionalizing feedback and adjustment mechanisms for policy and programme development

#### **(b) International reporting**

- (i) Collecting and reporting city and national indicators
- (ii) Institutionalizing feedback and adjustment mechanisms for international support programme

## **2. Advocacy, Participation and Partnerships**

#### **(a) Communication of information for participation**

- (i) Assessing mass media coverage of issues
- (ii) Networking among participants
- (iii) Identifying effective communication techniques
- (iv) Learning and applying survey methods

#### **(b) Forming public/scientific/academic partnerships**

- (i) Contracting for research
- (ii) Contracting for independent evaluations
- (iii) Utilizing training and education resources

#### **(c) Forming public sector/NGO partnerships**

- (i) Identifying the legal constraints to local accreditation of NGOs
- (ii) Contracting to NGOs as providers of public services
- (iii) Including NGOs as representatives of groups in decision-making

## **3. Development of human resources**

#### **(a) Training trainers**

- (i) Assessing national and local training capacity
- (ii) Selecting and applying appropriate communication techniques
- (iii) Employing various media
- (iv) Matching techniques to learning styles
- (v) Evaluating training effectiveness

#### **(b) Strengthening training institutions**

## **4. Promoting gender equity**

#### **(a) Placing gender equity in the mainstream of action**

- (i) Providing consultative support to all national and sub-national development programmes in bringing gender issues into the mainstream of action
- (ii) Holding awareness and sensitivity seminars for all decision-makers
- (iii) Analysing documents for bias and error
- (iv) Developing, testing and applying gender-assessment methodologies
- (v)

- Monitoring of gender roles and functions in decision-making
  - (v) Training for advocacy
5. Mobilizing monetary resources and financing mechanisms
- (a)
- Involving the private sector
- Contracting out public services
- Establishing appropriate public incentives for private investors
- (iii) Strengthening regulatory responsibilities
  - (iv) Maintaining a competitive environment
  - (v) Eliminating corruption in public/private relationships
6. Developing legal instruments, political leadership and government institutions
- (a) Training for leadership
- (i) Defining the civic, or public, interest
  - (ii) Raising awareness among political leaders of demand/need for public service
  - (iii) Supporting the spirit of public service
  - (iv) Setting standards for holding office
  - (v) Exploring the relationship between ethics and the flow of information
- (b) Promoting public service
- (i) Defining the rights/responsibilities of civil servants, elected/appointed officials, the public and interest group
  - (ii) Matching public service pay scales with performance, merit and service rendered
- (c) Ensuring accountability
- (i) Establishing external and internal auditing programmes
  - (ii) Evaluating financial and programme auditing procedures
  - (iii) Establishing disclosure requirements, codes of conduct for public officials and independent monitoring mechanisms
  - (iv) Establishing independent avenues for redress through the courts (legal action) and ombudsmen (arbitration and mediation)
  - (v) Supporting mechanisms for detecting/reporting "kickbacks," "commissions" and other forms of graft
  - (vi) Creating incentives/rewards for good public service
  - (vii) Providing access by independent media to decision-making information
  - (viii)
- Detecting/reporting "white collar" crimes in bureaucracy
- (d) Creating effective administrative structures and procedures
- (i) Instituting objectives-oriented planning, programming and budgeting processes
- (e) Setting guidelines and rules
- (i) Analysing processes for legislative and administrative goals-setting and visioning, policy-making, standards-setting, law-making and regulatory for their equity impacts;
  - (ii) Analysing and modifying functions of administrative regulatory systems
  - (iii) Evaluating arbitration and mediation as alternatives to adjudication
  - (iv) Regularizing contracts law and enforcement of contracts
  - (v) Strengthening inspection and monitoring systems
- (e) Public-sector intervention
- (i) Ensuring equity in access to arbitration, mediation and adjudication processes
  - (ii) Guaranteeing preparedness and coordination of resources for emergencies
  - (iii) Providing assistance to vulnerable groups for basic needs, job training/retraining, health and security services, education and literacy and mobility
  - (v) Providing mechanisms for ensuring equitable allocation of resources
- (f) Devolution of authority and responsibility
- (i) Analysing the legal and institutional context for decentralization
  - (ii) Doing baseline analyses of national/sub-national government, NGO and private sector responsiveness to people's basic needs
  - (iii) Performing capacity audits of national/sub-national government, NGO and private-sector ability to provide services
  - (iv) Evaluating training capacity and needs at various levels
  - (v) Training of trainers
- (g) Elimination of barriers
- (i) Assessment of impact of current policies, laws and standards on the disabled, vulnerable, women, children, elderly and on their ability to participate in development, gain access to information, resources and justice

7. Developing and transferring methods and technologies	(i)
(a)	Facilitation of networking
Best practices	(ii)
(i)	Encouraging the upgrading of telecommunication technology and use of other media
Identifying, evaluating and institutionalizing appropriate methods and technologies in all substantive programme areas	(iii)
(ii)	Expanding connectivity between all levels of government
(iv)	Eliminating censorship and control of the mass media
Networking information on successful best practices for good governance, partnerships and participation	
8. Improving information and communication	9. Measuring performance
(a)	(a)
Establishing management information systems	Measuring performance
(i)	(i)
Developing and applying settlements and shelter indicators	Developing and applying survey instruments for measuring client group satisfaction
(ii)	(ii)
Generating data through surveys and statistics	Adopting performance indicators to measure and compare coverage, efficiency, and quality of urban service delivery
(iii)	(iii)
Generating and classifying geographic information	Establishing output measures for programmes in each substantive area
(iv)	(iv)
Strengthening analytical capacity for policy and programme development	Supporting independent evaluations
(v)	
Monitoring of operations and management	
(b)	IV. FRAMEWORK FOR INTERNATIONAL COOPERATION AND SUPPORT
Assessing social/economic/environmental impacts	69.
(i)	International cooperation and support is no longer predicated simply on one-way transfer of technical cooperation alone from North to South. Experience shows that information and expertise can be more effective when placed in a network of exchange in all directions, including north-north, south-south and south-north. This information and expertise is the basis for capacity-building. International cooperation and support should therefore focus, as a matter of priority, on capacity-building needs to promote the objectives of enablement at the national and sub-national levels. This includes the transfer of tools, instruments, know-how and methods for assessing needs and capacities, formulating integrated capacity-building programmes across all programme areas. International support should also be targeted at priority enablement programmes identified in national and sub-national plans of action.
Analysing potential impacts of area-wide plans	
(ii)	
Analysing major development proposals	
(iii)	
Testing and disseminating standard techniques;	
(iv)	
Institutionalizing the use of assessments	
(c)	
Gaining access to information	

70.

The central objective of such a framework for international cooperation is to respond to the rapidly expanding need for institutional reform for related policy initiatives, and for changes in legal and regulatory frameworks. Such cooperation should involve public-sector institutions; and non-governmental, community-based and private commercial organizations; and should actively support the creation of national and international networks for the sharing of experience and information.

71.

It must also be recognized that only national and local institutions are able to be in direct and continuous contact with their clients and partners, to assess continuously changing needs and demands and to respond to them in a timely manner, to be culturally and politically immersed in national development processes, and to work in national and local languages. It is also obvious that only a large, broad-based network of national and local institutions can respond to the immense scale and diversity of needs.

72.

What international cooperation can and should do is to "build capacity for capacity-building" predicated on policy-level agreements, well-defined support actions within a flexible strategy, broad collaboration between external support agencies and between them and national and local institutions, and well-designed tools of support which genuinely build capacity of national and local institutions rather than substituting for them or even competing with them.

73.

The following framework provides examples of new initiatives and proposals for mobilizing, nationally and internationally, the necessary human, financial and technical resources to address effectively the programmes contained in earlier chapters. Specific sectoral proposals, including the strengthening or reformulation of existing programmes and initiatives, will be further elaborated on the basis of priority capacity-building needs to be identified in national plans of action.

#### A. Sustainable urban and regional development

74.

(a)

Policy research and consultation services: A global facility providing assistance in policy integration at the national level, and managing global research and monitoring on, *inter alia*, macro-economic development and urbanization, urban-rural linkages, urban planning and management, major infrastructure integration, major transport and communication integration, environment and resource conservation, emergency preparedness, mitigation and relief, sustainable settlements policy and

programme issues in all programme areas at the national and international levels and for making policy and programme recommendations, as requested, to national governments, local authorities and international organizations.

(b)

*The Global Urban Network*: A global electronic "yellow pages" and hard copy inventory of key urban interest groups and their activities and an electronic bulletin board for, among other tasks, reporting and commenting on progress in implementing the Global Plan of Action and national plans of action.

(c)

*The Global Observatory for Sustainable Urban Development*: A global facility responsible for the continuous analysis and development of urban and shelter indicators and statistical programmes for the purpose of synthesizing information into periodic and special reports on urban conditions and issues world-wide and responsible for informing the Global Report on Human Settlements, among other publications.

#### B. Sustainable shelter and community development

75.

(a)

*Programme and project assessment services*: A global and/or regional facility responsible for assignment and management of individuals and teams, on contract, to perform diagnostic tasks, on demand, to determine environmental, social, economic and gender-assessment impacts of urban and local development plans, programmes and projects, methods and technologies. Specific areas of focus would include livelihood support, micro-economic development, shelter provision and upgrading, access to land and finance, social services delivery, local transport and communication, energy and resources conservation, community-action planning and local emergency preparedness and risk and vulnerability reduction.

(b)

*The Global "Town Meeting" and electronic teleconferencing*: A global and/or regional facility designed to apply the teleconferencing features of modern digital communication systems in bringing people together, electronically, for consultations on urban and local policy issues and for facilitating decision-making at all levels.

(c)

*Community development support and training*: A global and/or regional facility providing training needs and capacity-assessment services and methodologies, training of trainers services for action planning, project management and community contracting, facilitation and

mediation, finance, advocacy, the formation of cooperatives and partnerships, effective participation, visioning and goal-setting.

### C. Sustainable settlements management and governance

76.

(a)

*Monitoring and updating the Global Plan of Action:* A global facility to continuously: (i) monitor the formulation and implementation of broad-based national plans of action; (ii) monitor and update, at five-year intervals, the commitments and actions; (iii) update, at five-year intervals, the cross-sectoral and sectoral programmes; and (iv) assess and update priorities for international cooperation and support.

(b)

*International Institute for local Leadership and Governance:* A global education/training facility for prospective, newly elected and appointed, or veteran local officials to discuss, between public servants, their responsibilities and the resources and methods that are available to assist them in carrying out their duties. The Institute would facilitate exchange of ideas and information on local governance through the encouragement of networking and staff exchanges and will draw on urban leadership resources from around the world.

(c)

*Learning from Best Practices and Electronic Catalogue of Best Practices:* A global facility responsible for establishing guidelines and criteria for the continuous global survey and analysis of methods and technologies by all key groups in all programme areas and to encourage the transfer of knowledge, know-how and experience among key groups, governments and local authorities on political and social processes which have proven to be sustainable. The facility would also provide a global information and networking facility operated over the Internet to disseminate information on best practices in all cross-sectoral programme areas.

(d)

*Management development support and training:* A global and/or regional facility providing for training of trainers services, the continuous testing and dissemination of management development and learning methods and materials, including case study materials derived from, *inter alia*, best practices, using a variety of media geared to various learning styles and designed to meet the objectives of enablement in all substantive programme areas. This programme would provide support to national and local capacity-building institutions.