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DRAFT MEDIUM-TERM PLAN OF THE UNITED NATIONS
CENTRE FOR HUMAN SETTLEMENTS (HABITAT) FOR
THE PERIOD 1984-1989

Report of the Executive Director

SUMMARY

In accordance with the substantive guidelines and technical instructions issued by the Director-General for Development and International Economic Co-operation dated 14 November 1980, the Executive Director has prepared a draft medium-term plan for the period 1984-1989. The draft plan is presented to the Commission on Human Settlements for its review prior to its submission to the Office for Programme Planning and Co-ordination.

This document is divided into two parts. Part one presents the substantive and technical background to the preparation of the draft plan, while part two contains the draft medium-term plan as prepared for submission to the Office for Programme Planning and Co-ordination. The attention of the Commission is drawn to the note by the Secretariat which precedes the draft medium-term plan. In particular, the Commission is requested to identify further activities which are considered to be obsolete, of marginal usefulness or ineffective and to determine the relative priorities among subprogrammes within the programme on human settlements. The redrafted plan will reflect the Commission's decisions on both these matters. Finally, the presentation of the programme budgets for the biennia covered by the plan will have to be based on the subprogrammes and strategies specified in the draft plan for the period 1984-1989.

CONTENTS

	<u>Paragraphs</u>	<u>Page</u>
INTRODUCTION	4	3
 <u>Part one. Preparation of the draft medium-term plan for the period 1984-1989</u>		
I. SUBSTANTIVE BACKGROUND	2 - 7	3
II. TECHNICAL BACKGROUND	8 - 25	4
 <u>Part two. Draft medium-term plan of the United Nations Centre for Human Settlements (Habitat) for the period 1984-1989</u>		
Note by the Secretariat	26 - 31	8
III. MAJOR PROGRAMME NARRATIVE	32 - 37	9
A. The International Development Strategy for human settlements	32 - 36	9
B. The planned contribution of the United Nations Centre for Human Settlements (Habitat) to the International Development Strategy	37	10
IV. PROGRAMME AND SUBPROGRAMME NARRATIVES	38 - 111	11
A. General orientation of the programme	38 - 43	11
B. Subprogramme narratives	44 - 102	13
C. Organization	103 - 105	37
D. Co-ordination	106 - 111	37

INTRODUCTION

1. This document is divided into two parts. Part one presents the substantive and technical background to the preparation of the draft medium-term plan for the period 1984-1989, while part two contains the draft medium-term plan itself, submitted to the Commission on Human Settlements for review. Substantive guidelines and technical instructions for the preparation of the medium-term plan were distributed by the Director-General for Development and International Economic Co-operation. It is believed that presenting the substantive and technical background to the preparation of the draft plan will assist the Commission in its review.

Part one. Preparation of the draft medium-term plan for the period 1984-1989

I. SUBSTANTIVE BACKGROUND

2. The medium-term plan for the period 1984-1989 will be the fifth plan encompassing the programmes of the United Nations, and it is to be designed within the overall policy framework of the International Development Strategy for the Third United Nations Development Decade. While the International Development Strategy is addressed to the international community at large and is premised on the proposition that the primary responsibility for the development of the developing countries rests with those countries themselves, it nevertheless specifically calls on the organizations and bodies of the United Nations system to assist in its implementation and in the search for new avenues of international co-operation for development. UNCHS (Habitat) therefore reviewed its programmes and activities in order to ensure that their direction and purpose were consistent with the goals of the new Strategy.

3. This review had a number of purposes, including the following:

(a) The identification of new areas for action consistent with legislative intent and existing general mandates;

(b) The determination of areas requiring increased emphasis within current programmes;

(c) The systematic elimination of areas of activity which are deemed obsolete, of marginal usefulness or ineffective;

(d) The identification of activities which experience suggests might be carried out more effectively by other units, including units at the regional level.

4. The review was conducted bearing in mind the needs of seven sectoral and intersectoral areas identified by the International Development Strategy as requiring special emphasis. These areas are as follows:

(a) Raw materials, including agricultural commodities, minerals and sea-bed resources;

(b) Industrialization and trade in manufactures;

/...

- (c) Science and technology for development;
- (d) Co-operation among developing countries;
- (e) Energy;
- (f) Least developed countries;
- (g) Monetary and financial issues.

5. These areas were identified on the basis of an analysis of the objectives enunciated in the International Development Strategy and the policy measures set out therein, as well as in the light of the thrust of intergovernmental policy concerns as reflected in the programmes of action agreed upon at a number of recent international conferences and in current programmes and activities of the Organization.

6. These are areas, therefore, which require special attention in the next plan insofar as the filling of gaps and the adjustment of relative priorities within programmes are concerned.

7. UNCHS (Habitat) was thus provided with a substantive framework within which to formulate its activities. This framework, together with that provided by the Vancouver Declaration of Principles and recommendations, established the substantive context within which the draft medium-term plan for the period 1984-1989 was prepared.

II. TECHNICAL BACKGROUND

8. The technical instructions provided by the Director-General also introduced innovations with regard to the drafting of the medium-term plan. These instructions were as follows:

(a) The plan is to cover a six year period (1984-1989). It will be adjusted in two years' time and again in four years' time as the need arises. It will thus provide a framework for three ensuing programme budgets;

(b) The medium-term plan is to be submitted to the Commission on Human Settlements in its draft form to enable the Commission to reflect on the long-term orientation of the activities of UNCHS (Habitat) and to make a decisive contribution to the medium-term and short-term work programmes of the Centre;

(c) Programme narratives in the plan are to concentrate on the definition of objectives and proposals for strategies;

(d) The difference between intergovernmental objectives, as expressed in broad legislative instruments, and the more instrumental objectives of the secretariat activities associated with them is to be acknowledged;

(e) The plan should clearly identify new activities, and the planning process should make it possible to identify activities which are considered to be obsolete, of marginal usefulness or ineffective;

(f) The plan is to include financial indications at the major programme level, as recommended by ACABQ. These indications will be prepared centrally by the Office of Financial Services.

9. The draft plan is to be reviewed by the Commission on Human Settlements under cover of the note by the Secretariat which directly precedes the draft plan in part two of this document. Specifically, the Commission on Human Settlements is requested to identify further activities which are considered to be obsolete, of marginal usefulness or ineffective and to determine the relative priorities among subprogrammes within the programme on human settlements.

10. The decisions of the Commission in this respect will be recorded in the report of the Commission on Human Settlements on the work of its fourth session, and the medium-term plan will be redrafted to reflect these decisions.

11. After review by the Commission, UNCHS (Habitat) will submit to the Office for Programme Planning and Co-ordination copies of the draft plan as submitted to the Commission, copies of the recommendations for changes in the plan as adopted by the Commission, and copies of the redrafted plan reflecting those recommendations. The financial information required will be prepared by the Office of Financial Services. The plan will then be issued by the Secretary-General as a General Assembly document.

12. This sequence of steps for preparation and review is intended to provide the General Assembly with a plan that it can adopt as the principal policy directive of the United Nations, as envisaged in General Assembly resolution 31/93, paragraph 3(c), and reaffirmed in resolution 34/224, paragraph 2(c).

13. Human settlements has been listed as a major programme; however, the medium-term plan as presented in this document constitutes a programme within the human settlements sector. In this regard, it represents all of the activities in this sector which will be under the responsibility of the Executive Director of UNCHS (Habitat). The medium-term plan as prepared by UNCHS (Habitat) consists of narratives at the programme and subprogramme levels. Analyses at the programme element (or project) level are not included as they were not required for the preparation of the draft medium-term plan and will be found in subsequent programme budgets.

14. In chapter III, section A, an attempt has been made to describe briefly that portion of the International Development Strategy which pertains to human settlements. In chapter III, section B, an attempt has been made to describe the main features of the contribution of human settlements to the International Development Strategy.

15. In chapter IV, sections A, C and D, an attempt has been made to describe the general orientation and main features of the UNCHS (Habitat) medium-term plan at the programme level. In particular, section A specifies that subprogrammes and objectives are based on the International Development Strategy, the report of Habitat: United Nations Conference on Human Settlements, and General Assembly resolution 32/162. Every effort has been made to establish a set of objectives (subprogrammes) derived directly from objectives set out explicitly or implicitly in the above legislative items. It was recognized that the medium-term plan would determine the presentation of the programme budgets for the biennia covered by the plan and that future programme budgets would thus utilize the same subprogramme structure as that presented in the plan.

16. The Commission will note that chapter IV, section A is incomplete, since it deals with the Commission's priorities among the subprogrammes. Once the views of the Commission regarding the relative priorities to be accorded to the subprogrammes have been determined, chapter IV, section A will be completed accordingly.

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17. Chapter IV section C contains all subprogramme narratives. Each subprogramme narrative indicates the short title, the legislative authority for the subprogramme, the objectives sought, the problem addressed, the strategy for the period 1984-1989 and methods of subprogramme evaluation.

18. As in the 1980-1983 plan, the short title of each subprogramme is based on the key words of the objective.

19. The legislative authority for each subprogramme consists of the operative paragraph of resolutions asking the Secretary-General to undertake the work being proposed. These paragraphs are cited but not quoted, and they are listed chronologically, not separated by legislative organ.

20. In each subprogramme narrative, objectives have been formulated at four levels. The intergovernmental objective has been taken as directly as possible from the mandate giving authority for the subprogramme. This objective seeks to bring about a change in the situation described under problem addressed or to alleviate that problem. The secretariat objectives are stated at three levels. The highest level or general objective corresponds to the continuing mission of UNCHS (Habitat). The second level of time-limited subsidiary objectives is more precise since it commits UNCHS (Habitat) to providing the international community with tools which, if used effectively, will contribute to the attainment of intergovernmental objectives. The third level of secretariat objectives concerns continuing functions which contribute to the attainment of the objectives of the subprogrammes. This structure is consistent with the past directives of the Commission, which instructed UNCHS (Habitat) to organize all of its activities within the context of substantive subprogrammes.

21. The statement describing the problem addressed has been designed in such a way as to characterize one problem that UNCHS (Habitat) can reasonably be expected to alleviate. The problem addressed is the exact inverse of the objective, and activities at the subprogramme level are not intended to alleviate more than one problem.

22. The strategy for the period 1984-1989 represents the course of action that can reasonably be expected to result in the partial or complete fulfilment of the objective. The subsection dealing with the situation at the end of 1983 briefly characterizes the stage that is expected to be reached as a result of the completion of the activities listed in the narrative of the proposed programme budget for the biennium 1982-1983. The section which deals with the period 1984-1989 describes the strategy or approach that will be taken in order to achieve the objective for the period 1984-1989. Descriptions of individual programme elements or outputs are not required, as this level of detail will be used in justifying budgetary requests. The section on strategy indicates the type of activity (research, technical assistance, training, etc.) that will be undertaken and, where applicable, the sequence in which these activities will be carried out. This subsection will provide the programme framework within which the 1984-1985 budget will be prepared and, with revisions where necessary, the framework for the 1986-1987 and 1988-1989 budgets also. According to the technical instructions for the preparation of the draft plan, no request should be made in the budgets of 1984-1985 or in subsequent budgets for substantive activities that are not part of the strategy of the approved plan unless there is a legislative authorization for such a request.

23. Each subprogramme contains a section which deals with evaluation and which addresses the following points: the purposes of future evaluation; the characteristics of the self-evaluation planned, including the methodology, frequency and timing and the extent and type of participation by Member States; the nature of performance and impact indicators to be employed; the means and sources of information collection; the anticipated application of the evaluation findings.

24. With regard to editorial details, the technical instructions for the preparation of the plan stated that the draft plan for human settlements, including subprogramme narratives, should not be longer than 20 double-spaced pages. Although every effort was made to comply with this constraint, the organizational responsibilities and substantive scope of UNCHS (Habitat) resulted in a draft plan that exceeded the 20 page limitation. Since it was believed that cutting the draft plan to the specified length would significantly impair the plan's usefulness, UNCHS (Habitat) requested that it be allowed to exceed the 20 page limit. It has been informed by the Office for Programme Planning and Co-ordination that every effort will be made to try to accommodate the longer document.

25. Finally, in subprogramme narratives describing a new activity, a line has been typed in the margin to draw the reader's attention to the text, as shown in the margin of this paragraph.

Part two. Draft medium-term plan of the United Nations Centre
for Human Settlements (Habitat) for the period 1984-1989

Note by the Secretariat

26. The attached is a draft of the relevant section of the medium-term plan for the period 1984-1989. Recommendations for changes adopted by the Commission on Human Settlements will be taken into account in revising this draft to produce the plan to be submitted to the Committee for Programme and Co-ordination (CPC), the Economic and Social Council and the General Assembly.

27. At its twentieth session, CPC requested (A/35/38, para.320) that the attention of sectoral, regional and functional intergovernmental bodies reviewing the draft plans should be drawn to the following provisions of General Assembly resolution 31/93, in which the General Assembly:

"Requests the Secretary-General to take measures to involve more closely the sectoral, functional and regional programme-formulating organs in the planning and programming process;

Urges these organs to refrain from undertaking new activities not programmed in the medium-term plan and the subsequent programme budget unless a pressing need of an unforeseeable nature arises as determined by the General Assembly;

Requests the Secretary-General to ensure compliance with the planning and programme-budgeting procedure referred to above."

28. The Secretary-General wishes to draw attention to operative paragraph 2(p) of resolution 34/224 by which the General Assembly, establishing guidelines for medium-term planning in the United Nations, states that "the planning process should also make it possible to identify.....activities of marginal utility".

29. The Secretary-General also wishes to recall General Assembly resolution 32/206, which, in its operative paragraph 3:

"Requests such bodies (functional, sectoral and regional) to propose, through the Committee for Programme and Co-ordination, relative priorities to be accorded to the various subprogrammes within their respective fields of competence."

30. The proposals of the Commission on Human Settlements on these priorities will be transmitted to the Committee for Programme and Co-ordination.

31. As is the case with the programme budget, the approval of the medium-term plan is a prerogative of the General Assembly.

III. MAJOR PROGRAMME NARRATIVE

A. The International Development Strategy for human settlements

32. With regard to human settlements, the International Development Strategy states the following:

"The provision of basic shelter and infrastructure for all people, in rural as well as urban areas, is a long-term goal. A balanced network of cities, towns and villages is needed for harmonious development, for the emergence of mutually supportive linkages between industrial and agricultural activities, and for the adequate provision of infrastructure and services. Well-balanced programmes for the development of human settlements are necessary so as to provide greater benefits to low-income groups." (A/35/592/Add.1, para.49)

33. With regard to achieving the above-mentioned objectives, the Strategy states:

"The quality of life and the environment should be improved through, inter alia, the formulation and implementation of appropriate planning and development policies designed to ensure a better interregional balance between rural and urban development, as well as through the strengthening, in the context of human settlements planning, of measures to improve housing conditions for the most disadvantaged regions and communities - access to services, land and employment - and, in particular, through housing rehabilitation programmes.

"Developing countries will formulate policies for the provision of basic shelter and infrastructure. To this end, and so as to benefit from the multiplying effect of investment in the field of human settlements, countries will develop their construction industry, particularly for low-cost housing, support relevant financing institutions, stimulate research and disseminate findings on efficient methods of construction, low-cost design and technology for infrastructure, indigenous building materials and environmental protection." (A/35/592/Add.1, paras.159 and 160)

34. The above quotations constitute the only specific references to human settlements in the International Development Strategy. However, it is clear that human settlements development will be instrumental in the achievement of many of the objectives contained in the strategy. "The ultimate aim of development is the constant improvement of the well-being of the entire population on the basis of its full participation in the process of development and a fair distribution of the benefits therefrom" (A/35/592/Add.1, para.8). The Habitat Conference identified "the improvement of the quality of life of human beings" as "the first and most important objective" of human settlements development.^{1/} In order to achieve the aims of the International Development Strategy, progress must be made, inter alia, in attaining the subsidiary objectives of accelerating economic growth and reducing poverty while avoiding environmental degradation.

^{1/} Report of Habitat: United Nations Conference on Human Settlements, Vancouver, 31 May-11 June 1976 (United Nations publication, Sales No.E.76.IV.7 and corrigendum), chap.I, sect.II, para.1.

The objective of accelerating economic growth implies the corollary objectives of promoting economic efficiency and developing new technologies and institutions. The reduction of poverty, which is the primary social and spatial objective of the International Development Strategy, implies promoting equity and justice in the distribution of the benefits produced by development, ensuring full and effective participation by the entire population at all stages of the development process and guaranteeing the right of people to have their basic human needs satisfied in respect of food, water, shelter and other elements essential for a minimum acceptable quality of life.

35. Many Governments believe that the ultimate objective of economic growth is the alleviation of poverty. In this regard, human settlements policies can be designed to reduce poverty either directly through such measures as the provision of infrastructure to the poorest segments of a nation's population or indirectly through the fostering (on the basis of decisions about the pattern and nature of the settlements system) of those sectoral and geographical patterns of economic growth which most alleviate poverty.

36. The measures called for in the International Development Strategy will significantly affect the nature and patterns of national, regional and local development, population distribution and urbanization. Accordingly, individual settlements and settlements systems must be properly planned from the outset if they are to make the maximum contribution to the implementation of the International Development Strategy.

B. The planned contribution of the United Nations Centre for Human Settlements (Habitat) to the International Development Strategy

37. In order to achieve the goals specified in the International Development Strategy, the work of the United Nations Centre for Human Settlements (Habitat) over the period 1984-1989 will emphasize the development and maintenance of built environments as a means of accommodating and integrating the growth of population and economic and social activities in urban and rural areas. This policy will involve:

(a) The improvement of shelter, infrastructure and community services with a view to accommodating the existing and future population, increasing labour productivity, stimulating public participation, improving health and education facilities and ensuring greater equity in the distribution of income and the benefits of development;

(b) The utilization of the building sector as a vehicle for extending and diversifying industrial production and employment, income, savings and investments. This would also assist in achieving the goals of reducing import dependence, increasing mutual economic and technical co-operation among developing countries, developing indigenous and other appropriate technologies, mobilizing domestic financial resources and increasing in real terms concessional and non-concessional flows of resources to human settlements development;

(c) The development of human settlements policies, strategies and institutions in both urban and rural areas in order to harmonize economic and social development with the capacity of the natural environment, including its capacity to supply raw materials and other resources, and in order to promote settlement patterns which will conserve energy and resources through

the development of indigenous technical and economic solutions to energy problems involving, for example, energy-efficient transportation systems, spatial structures and building technologies;

(d). The institutionalization of comprehensive spatial planning at the national, regional and local levels as a mechanism for the optimum allocation of resources among competing goals and alternative locations, the aim being to balance economic growth with the equitable distribution of benefits, to minimize wastage of resources and environmental conflicts and to optimize the results of overall development;

IV. PROGRAMME AND SUBPROGRAMME NARRATIVES

A. General orientation of the programme

38. Three normative policy documents of the United Nations have determined the design of the medium-term plan for the United Nations Centre for Human Settlements (Habitat) for the period 1984-1989. They are the report of Habitat: United Nations Conference on Human Settlements (Declaration of Principles and recommendations for national action), 2/ General Assembly resolution 32/162 on institutional arrangements for international co-operation in the field of human settlements, and the International Development Strategy for the Third United Nations Development Decade (A/35/592/Add.1). The Habitat Conference affirmed three general principles which are consistent with the principles of the International Development Strategy. These principles are, firstly, that the most important objective of every human settlements policy is the improvement of the quality of life of human beings, secondly that priority must be given to the needs of the most disadvantaged people, and thirdly that economic development should contribute to a more equitable distribution of its benefits. In this connection, all persons have the right and the duty to participate, individually and collectively, in the elaboration and implementation of policies and programmes for human settlements. At the same time, the protection of the environment is the responsibility of the whole international community.^{3/} The Habitat Conference recommended a comprehensive series of actions that ought to be undertaken to achieve these objectives. However, priorities among the actions were not identified, as these are to be determined by each country.

39. The proposed policy framework for future activities contained in the draft medium-term plan for UNCHS (Habitat) has sought to incorporate two general principles. Firstly, international co-operation and the Centre's activities should be viewed as instruments of social and economic development; secondly, the activities of the Centre should be designed to support national action

2/ Report of Habitat: United Nations Conference on Human Settlements, Vancouver, 31 May-11 June 1976 (United Nations publication, Sales No.E.76.IV.7 and corrigendum).

3/ Ibid., chap.I, sect.II, paras.1,2,3,11 and 13.

and national programmes in the area of human settlements. In its decisions 3/13 and 3/14, the Commission on Human Settlements requested the Executive Director to give high priority in the 1984-1989 medium-term plan to the upgrading of urban slums and squatter settlements and to rural settlements matters. In its decision 3/15, the Commission also requested the Centre to direct the medium-term plan for 1984-1989 towards solving the problems and priorities of the developing countries, with emphasis on meeting the needs of low-income populations, to give careful consideration to the priority areas which the medium-term plan should address, bearing in mind the wide range of needs to be served and the Centre's limited resources, and to develop the medium-term plan, with minimal overlap and duplication with other agencies and programmes, and with emphasis on those areas in which the Centre can make a unique contribution.

40. Given that "the physical and institutional infrastructure in developing countries should be expanded at rates that fully support the rate of expansion of the economy as a whole" (A/35/592/Add.1, para.30) and that, although the Commission did not establish strict priorities, it has given the highest priority to shelter, infrastructure and services, the Centre's draft medium-term plan has placed priority on the provision of shelter, infrastructure and services in those areas or regions where they are either non-existent or inadequate. The draft plan emphasizes the technical, engineering and economic aspects of human settlements development and the greater utilization of demonstration projects and training in order to achieve the goals of the International Development Strategy. The provision and financing of infrastructure would be integrated with national, regional and local economic development programmes.

41. The broad scope of the Habitat Conference's recommendations and of the International Development Strategy necessitated the selection of more specific objectives for each subprogramme. The time-limited objectives, while derived from the major intergovernmental objectives in the International Development Strategy and in the Habitat Conference's recommendations, represent what the Secretariat interpreted as the priorities of the Commission on Human Settlements for 1984-1989. It should be recalled that, at its first (organizational) session, the Commission recommended the adoption of a unified programme structure which would facilitate the rational planning, development, promotion, control and evaluation of programmes on human settlements. Consequently, it proposed to adopt the recommendations of Habitat: United Nations Conference on Human Settlements, as approved by the General Assembly in resolution 32/162.^{4/} This structure was used for the medium-term plan for 1980-1983 and the programme budgets for 1980-1981 and 1982-1983. Since a subprogramme should only address one problem, subprogramme 3 (Shelter, infrastructure and services) has, for the purposes of the 1984-1989 medium-term plan, been divided into four distinct subprogrammes, namely shelter, infrastructure, building technology and human settlements finance. Public participation has been deleted as a separate subprogramme since it is a component of all the other subprogrammes.

^{4/} Official Records of the General Assembly, Thirty-third session, Supplement No.8 (A/33/8), para.18.

42. In addition to the time-limited objectives for 1984-1989 set for each of the subprogrammes, the Centre has the continuing objective of carrying out the responsibilities entrusted to it under General Assembly resolution 32/162, section III, paragraph 5, and General Assembly resolution 34/114 (Global report on human settlements and periodic reports on international co-operation and assistance on human settlements). The strategies for achieving the time-limited objectives and the continuing objectives are based on the functions recommended in resolution 32/162, section V, paragraph 3, namely:

- (a) Identification of the problems and possible solutions;
- (b) Formulation and implementation of policies;
- (c) Education and training;
- (d) Identification, development and use of appropriate technology, as well as limitation of hazardous technology;
- (e) Exchange of information, including audio-visual information;
- (f) Implementation machinery;
- (g) Assistance in the mobilization of resources at the national and international levels;
- (h) Promotion of the establishment of an international information pool on building materials, plants and equipment.

Priorities among the subprogrammes

43. The Commission on Human Settlements recommends that the relative priorities to be accorded to the subprogrammes in the Centre's medium-term plan should be as follows:...

B. Subprogramme narratives

SUBPROGRAMME 1: SETTLEMENTS POLICY ANALYSIS

(a) Legislative authority

44. The legislative authority for this subprogramme is as follows: Habitat: United Nations Conference on Human Settlements, recommendations for national action A.1 to A.7;⁵ General Assembly resolutions 31/109, paragraphs 3, 5 and 6; 31/113; 32/162, section II, paragraphs 3(a), 3(c), 4(a), 4(b) and 4(c), section III, paragraph 5, and section V, paragraphs 1(a) and 3; 34/114; 34/116; International Development Strategy (A/35/592/Add.1), paragraphs 49, 159 and 160.

⁵ Report of Habitat: United Nations Conference on Human Settlements. Vancouver, 31 May-11 June 1976 (United Nations publication, Sales No.E.76.IV.7 and corrigendum), chap.II.

(b) Objectives

45. The objectives of this subprogramme are:

(i) Intergovernmental objective

The establishment by Member States of national policies on human settlements incorporating the distribution of a country's population and related economic and social activities over the national territory;

(ii) General objective of the Secretariat

The development and promotion of effective procedures for the identification and conceptualization of settlements policy issues and for the formulation and implementation of effective national settlements policies;

(iii) Time-limited subsidiary objectives of the Secretariat

- a. The analysis of priority human settlements policy issues and the development and distribution of technical guidelines for integrated policy formulation (by 1987)
- b. The evaluation of the utility and feasibility of alternative mechanisms for institutionalizing settlements policy formulation and implementation as part of the national decision-making processes for economic and social development, and the publication and distribution of the results of the evaluation (by 1988-1989);
- c. The production and distribution of the Quinquennial Global Report on Human Settlements (in 1984 and 1989);
- d. The production and distribution of biennial reports on international co-operation (in 1984, 1986, 1988 and 1990);

(iv) Continuing subsidiary objectives of the Secretariat

- a. The provision of assistance to the Commission on Human Settlements to enable it carry out its responsibilities for settlements policies ^{6/} through, inter alia, the preparation of topical papers; ^{7/}
- b. The provision of direct technical assistance to Member States in the formulation and implementation of national policies on human settlements;
- c. The promotion of the inclusion of national policies for human settlements as an integral part of national social and economic development policies.

^{6/} General Assembly resolution 32/162, section II, paras. 3(a), 3(c), 4(a), 4(b) and 4(c).

^{7/} Ibid., section III, paras. 5(a), 5(b), 5(d), 5(e), 5(f) and 5(1).

(c) Problem addressed

46. Many developing countries continue to experience great difficulty in establishing effective national settlements policies, the lack of which results in the inefficient and inequitable allocation of resources, both within the human settlements sector and between it and the other economic and social sectors. The most important reasons for this situation are as follows: reservations and lack of understanding about the economic and social benefits that would flow from an effective national settlements policy, as well as about the potential role of human settlements in achieving the goals of the International Development Strategy; incomplete knowledge about the external and internal factors affecting human settlements conditions and trends; lack of information at the national and global levels on existing situations, ongoing changes and the experience gained to date through national and international efforts directed towards key policy and strategy issues; uncertainty on how to proceed in formulating settlements policy; insufficient understanding regarding the appropriate content of a national settlements policy (purpose, scope, target institutions and implementation mechanisms).

(d) Strategy for the period 1984-1989

(i) The situation at the end of 1983

47. Under the different policy themes reviewed by the Commission at each session, key policy aspects will have been analyzed and the findings will have been incorporated into the policies of UNCHS (Habitat) and disseminated. In addition, partial information on national policy options will have been assembled at both the global and regional levels, and preliminary guidelines on national settlements policy formulation will have been drafted and distributed. Initial mechanisms will have been established for the collection, classification and dissemination of data on national policy approaches in order to facilitate comparative analyses and to provide inputs for the Quinquennial Global Report on Human Settlements, the biennial reports for the Commission on Human Settlements on international action on human settlements, and other reports prepared to assist the Commission in its global policy formulation role.

(ii) The period 1984-1989

48. A comprehensive survey and analysis will be made of the different approaches used to establish national settlements policies and of the policies' content. Emphasis will be placed on analyzing the policy issues associated with the development of settlements systems designed to distribute the benefits of economic growth more fairly and on analyzing the content and formulation of policies which

affect the location, timing and capacity of investments in all development sectors so as to meet the sectors' needs in respect of the infrastructure and services provided by settlements. Technical guidelines for formulating integrated human settlements policies will be drafted on the basis of the abovementioned survey and analysis. The results will be presented to a series of regional or sub-regional expert group meetings and workshops with a view to examining their potential applicability in different situations. Regional conferences of senior government officials will be convened in order to review the findings and formulate recommendations aimed at regional issues. Technical assistance will be provided to Governments interested in using the guidelines.

49. The continuing activities to be undertaken would include: the monitoring of trends in human settlements policy; the collection, compilation, analysis, storage and dissemination of data; the preparation of policy papers, technical reports, audio-visual materials and the Quinquennial Global Report on Human Settlements; the promotion of recognition of the importance of human settlements development in overall socio-economic development and the provision to individual countries of technical assistance to implement the relevant recommendations for national action (A.1 - A.7) of the Habitat Conference.

(e) Evaluation

50. This subprogramme contains built-in evaluation components, since the outputs will be presented to and discussed by the Commission on Human Settlements and at workshops, seminars, and ad hoc expert group meetings. The resulting evaluations will be analyzed and documented by UNCHS (Habitat) so that subsequent outputs can be refined to serve the intergovernmental objective better.

51. The most significant achievement indicator will be the explicit inclusion of settlements policies in national development policies and the use of implementation mechanisms. This indicator will be monitored through questionnaires, presentations by national officials at regional and global meetings and the collection of relevant government documents.

SUBPROGRAMME 2: SETTLEMENTS PLANNING

(a) Legislative authority

52. The legislative authority for this subprogramme is as follows: Habitat: United Nations Conference on Human Settlements, recommendations for national action B.1-B.16, C.13, C.16, E.1-E.6, F.2 and F.5;^{8/} General Assembly resolutions 31/109, paragraphs 3, 5 and 6; 31/113; 32/162, section II, paragraph 3, section III, paragraph 5, and section V, paragraphs 1(b), 1(f) and 3; 34/116; International Development Strategy (A/35/592/Add.1), paragraphs 49 and 159.

^{8/} Report of Habitat: United Nations Conference on Human Settlements, Vancouver, 31 May-11 June 1976 (United Nations publication, Sales No.E.76.IV.7 and corrigendum), chap.II.

(b) Objectives

53. The objectives of this subprogramme are:

(i) Intergovernmental objective

To establish settlements and environmental planning within the framework of economic and social planning at the national, regional (subnational) and local levels;

(ii) General objective of the Secretariat

To develop and promote the use of effective settlements planning methods and institutional structures and procedures, with emphasis on the planning and development of rural settlements;

(iii) Time-limited subsidiary objectives of the Secretariat

- a. To formulate criteria and methods for scheduling investment in industry and settlements infrastructure and for allocating such investment among and within regions, with emphasis on growth poles in predominantly rural areas, and to publish and distribute these criteria and methods by 1987;
- b. To develop guidelines on planning for settlements systems and individual settlements in agricultural and urbanized regions in relation to, inter alia, energy requirements and energy conservation in transport networks, environmental considerations, and national and regional planning for economic and social development, and to publish and distribute the guidelines for settlements in agricultural regions by 1985 and the guidelines for non-agricultural regions by 1989;
- c. To develop guidelines for the establishment of effective institutional structures for regional (subnational) planning as a bridge between national planning for economic and social development and local planning for the growth and improvement of individual settlements, and to publish and distribute these guidelines by 1989;
- d. To forecast and assess likely conditions in human settlements during the period 2000-2020 in order to guide national and international policy formulation and planning for settlements during the 1990s, and to distribute in 1989 a compendium of settlements issues and problems for the 1990s.

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(iv) Continuing objectives of the Secretariat

- a. To forecast, assess and disseminate information on future human settlements conditions, particularly in the developing countries;
- b. To monitor, evaluate and disseminate information on the technical and institutional state of the art in settlements planning;
- c. To assist Governments in technical and institutional aspects of settlements planning, including the provision of effective types of training.

(c) Problem addressed

54. Planning for human settlements generally, and for settlements systems in agricultural regions in particular, tends to be a neglected and isolated activity. When plans do exist in developing countries, they are often not relevant enough to be implemented because they are drawn up by technically weak government agencies isolated on the one hand from the major national planning and decision-making bodies which deal with national economic and social planning and on the other from the local communities which are the intended beneficiaries of the planning and whose support is needed in order to implement important parts of the plans. Because of institutional isolation and technical and methodological weaknesses, many plans for individual settlements and settlements systems are based on faulty assumptions, seek inappropriate ends and are environmentally unsound. In particular, unrealistic assumptions are frequently made about the ability of the national economy to supply the levels of investment at the times and places envisaged by the plans and about the types and levels of investment that could be provided by the relevant national and subnational government bodies and by local communities.

(d) Strategy for the period 1984-1989

(i) The situation at the end of 1983

55. A substantial number of countries will have received technical assistance for various aspects of settlements planning, including the institutionalization of the planning process, the training of national cadres and the improved collection and analysis of data for settlements planning at the national, regional (subnational) and local levels. A forecast will have been made and published of likely conditions in human settlements throughout the world, with emphasis on the developing countries, in the year 2000. One or more case studies will have been prepared on environmental impact assessment of the growth of settlements, and guidelines will have been drafted, published and distributed on the incorporation of environmental issues into the planning and management of settlements. Methods and guidelines pertaining to aspects of settlements planning in several regions of the world will have been prepared and distributed.

Appropriate methods of planning for rural settlements and for settlements in disaster-prone areas will have been developed and reviewed at expert group meetings or workshops. A report and audio-visual materials, together with a selective bibliography, will have been prepared for the World Assembly on the Elderly.

(ii) The period 1984-1989

56. In a selected sample of developing countries, an assessment will be made of the economic, social and environmental characteristics of metropolitan regions, smaller urban areas, growth poles in predominantly rural areas and rural settlements in respect of their industrial and employment structures and their interactions with each other, with rural areas and with the international economy. Estimates will be made of the types and amounts of investment and operating costs, particularly for transport and other energy uses, required to accommodate future increases in population and employment in these different types of settlements, and of the benefits expected from them. On the basis of this information, criteria and methods will be formulated for scheduling investments in industry and infrastructure and allocating them among alternative settlement types and locations, and a methodology will be formulated for making such assessments within the framework of national settlements planning procedures. The methods will be reviewed at expert group meetings, and after revision will be published for general distribution and use in workshops and training exercises.

57. Using an extended sample of countries (supplementing those to be surveyed in 1982-1983), a survey will be made of procedures for, and the results of, planning for rural settlements. Demonstration projects on planning for rural settlements will be promoted, designed, implemented and evaluated using the draft guidelines developed during the 1982-1983 biennium. Regional and global expert group meetings will be convened to evaluate the results of national experience in respect of rural settlements planning and the demonstration projects. Guidelines on planning for settlements in agricultural regions will be published and distributed.

58. A review and evaluation will be undertaken of existing institutional structures for regional (subnational) planning and of their ability to foster effective local planning for settlements in both agricultural and urbanized regions. Proposals for possible modifications to existing regional structures or for the creation of new ones will be prepared and reviewed by one or more expert group meetings, after which revisions will be published and distributed. Technical assistance will be provided to Governments interested in improving or creating a regional planning capacity.

59. Information will be collected on trends in settlement conditions and on the state of the art in forecasting economic and social conditions in settlements. Forecasting techniques will be evaluated, and suitable ones will be used to forecast settlement conditions in the years 2000, 2010 and 2020. The implications of these forecasts for settlements policies and planning will be deduced, and the results will be evaluated at regional and subregional expert group meetings, workshops and a global conference on the future of human settlements. Technical assistance will be provided to individual developing countries, upon request, in connexion with the legislative, organizational and technical aspects of settlements planning, training and the dissemination of the experience accumulated by the international community, particularly among developing countries.

(e) Evaluation

60. The purposes of the evaluation of this subprogramme will be to assess the extent to which Governments find the information and suggested planning procedures generated by the subprogramme relevant and readily usable and the extent to which they introduce them into their procedures for settlements planning. Outputs will be reviewed in draft form at expert group meetings and by correspondence. Surveys will be made of actual and potential users of the outputs to obtain their views on format, content, method of delivery and current and projected uses.

61. Performance indicators will describe the potential relevance of the outputs to the problem addressed and their usefulness as assessed by the users. Impact indicators will include the extent to which the suggested planning guidelines and procedures (as modified to reflect different national circumstances) are adopted by Member States, particularly the procedures for rural settlements planning, for relating local planning to regional (subnational) and national planning, for allocating investment among different types of settlements, for public participation and for dealing with expected medium-term and long-term growth and change; impact indicators will also include the number of personnel trained in workshops and trainees' views on the quality of the training provided. Suitable evaluation instruments and procedures will be defined and applied.

SUBPROGRAMME 3 : SHELTER AND COMMUNITY SERVICES

(a) Legislative authority

62. The legislative authority for this subprogramme is as follows: Habitat: United Nations Conference on Human Settlements, recommendations for national action C.1, C.2, C.3, C.9, C.10, C.15, C.17 and C.18; 9/ General Assembly resolutions 31/109, paragraphs 3, 5 and 6; 31/113; 32/162, section II, paragraph 3, section III, paragraph 5, and section V, paragraphs 1(d) and 3; International Development Strategy (A/35/592/Add.1), paragraphs 49, 159 and 160.

(b) Objectives

63. The objectives of this subprogramme are:

(i) Intergovernmental objective

To provide adequate shelter and services, placing special emphasis on meeting the basic needs of the rural and urban poor;

(ii) General objective of the Secretariat

To develop, disseminate and evaluate alternative strategies and methods for the delivery and improvement of shelter and community services for rural and urban low-income groups;

(iii) Time-limited subsidiary objectives of the Secretariat

- a. To design, implement and evaluate pilot demonstration projects for the gradual improvement of slum and squatter settlements (by 1988);
- b. To formulate strategies and procedures for the mobilization of the informal sector using self-help and public participation techniques in the improvement of shelter and community services (by 1987);
- c. To prepare and publish technical reports on key issues, policies and strategies for the provision of shelter and community services to low-income groups on the basis of the results of the demonstration projects referred to in subparagraph a. above (by 1989);

(iv) Continuing subsidiary objectives of the Secretariat

- a. To monitor and evaluate global trends, problems and opportunities related to the provision of shelter and community services for the urban and rural poor, and to disseminate the findings;
- b. To provide training for and technical assistance to Governments upon request in connection with selected aspects of the provision of shelter and community services.

(c) Problem addressed

64. In many countries, the provision of basic shelter and community services, especially for the lower-income groups, is grossly inadequate. The reasons for this include the scarcity and high cost of building sites, the high cost of conventional construction, the lack of experience on the basis of which to formulate effective policies and strategies for the provision of low-income housing and services, and the high demand for and scarcity of national personnel trained to formulate and implement programmes for low-income shelter and services.

(d) Strategy for the period 1984-1989

(i) The situation at the end of 1983

65. The following activities are scheduled to have been completed by the end of 1983: the publication and distribution of technical reports on key global and regional issues in the areas of public participation, decision-making and management related to the provision of low-income housing, emphasis being placed on the improvement of slums and squatter settlements; the execution and evaluation of two pilot demonstration projects on the upgrading of slums and squatter settlements in Asia and Africa; the conduct and evaluation of training courses in Africa, Asia, and Latin America on the management of urban improvement projects. In addition, technical assistance will have been provided on decision-making in housing programmes (five countries), public participation in neighbourhood improvement (four countries) and the improvement of delivery systems for low-income housing (two countries). Two training seminars will be held on the upgrading of slums and squatter settlements; related training materials, including films, will be prepared.

(ii) The period 1984-1989

66. Information on global trends in shelter and community services will be collected, analyzed, disseminated and used as an input for the Quinquennial Global Report on Human Settlements. Further research will be undertaken on ways of improving the provision of shelter and community services for low-income groups, including public participation in the planning, decision-making and implementation phases of national programmes and the development of techniques for monitoring and evaluating low-cost shelter and community services projects. Assistance will be provided to Governments upon request for the training of national and local manpower for the management and integration of various services provided in shelter projects and for the development of appropriate policies, programmes, pre-investment analyses and project preparation techniques for low-cost housing and the upgrading of existing low-income settlements.

(e) Evaluation

67. The purposes of evaluating this subprogramme will be to assess the effectiveness of the shelter and community services demonstration projects in terms of the quality and quantity of services delivered, the resources used and the delivery time frame, to determine the extent to which recommended policies and techniques for low-income groups have gained acceptance by Member States, and to assess the need for adjustments to the recommendations. The effectiveness of the demonstration projects will be measured through monitoring and evaluation mechanisms incorporated into the design of the individual projects. The acceptability or unacceptability of recommended policies and techniques for low-income shelter and services will be determined on the basis of a survey conducted jointly with Member States.

68. Performance indicators will include the number of completed projects, the size of target populations and the number of Member States utilizing the recommendations for low-income shelter and services policies and techniques. Impact indicators will include: changes in the availability of basic shelter and services for target populations and for larger groups subsequently selected for follow-up national and international action; the degree of satisfaction with shelter and services as reported through sample surveys of target populations; the number of Member States utilizing the recommendations for improved strategies and procedures, and Member States' views. Information will be collected by means of questionnaires and joint surveys carried out by UNCHS (Habitat) and Member States. The findings will be used to adjust the recommendations for innovative policies and techniques and to modify subsequent demonstration projects.

SUBPROGRAMME 4 : DEVELOPMENT OF THE INDIGENOUS CONSTRUCTION SECTOR

(a) Legislative authority

69. The legislative authority for this subprogramme is as follows: Habitat: United Nations Conference on Human Settlements, recommendations for national action C.3 - C.8; 10/ General Assembly resolutions 31/109, paragraphs 3, 5 and 6; 31/113; 32/162, section II, paragraph 3, section III, paragraph 5, section V, paragraphs 1(d) and 3; International Development Strategy (A/35/592/Add.1), paragraphs 49 and 160.

(b) Objectives

70. The objectives of this subprogramme are:

(i) Intergovernmental objective

To develop the construction sector so that it meets national objectives and the production targets required for human settlements;

(ii) General objective of the Secretariat

To promote and develop indigenous building materials and construction industries, and to encourage effective and economic energy utilization;

(iii) Time-limited subsidiary objectives of the Secretariat

- a. To assess the possibility and implications of utilizing indigenous materials and technologies as substitutes for imports (1984-1989);
- b. To establish a network of organizations undertaking research on indigenous building materials and techniques (1985);
- c. To develop energy utilization criteria for the selection and production of building materials, for the design, construction and maintenance of buildings (1986) and for labour-intensive medium-scale and small-scale building materials industries (1985), and to assist Governments in establishing selected industries based on these criteria (1985-1989);

- d. To design, implement and evaluate pilot projects which adapt and test improved design concepts, technologies and products and which demonstrate costs and performance characteristics (one project each year between 1984-1989);

(iv) Continuing subsidiary objectives of the Secretariat

- a. To facilitate the exchange among developing countries of information on building materials, plant and equipment and to provide inputs for the Quinquennial Global Report on Human Settlements;
- b. To provide assistance to Member States upon request on various aspects of the construction sector.

(c) Problem addressed

71. In most developing countries, the construction industry depends on the extensive use of foreign-derived standards and codes for the performance and quality of materials, products and workmanship, and this leads to excessive dependence on imported materials and even labour. This situation inhibits efforts to identify, develop and implement appropriate materials, designs and construction techniques which would be more compatible with available supplies of energy, labour and other resources. This in turn limits the volume and usefulness of the industry's design and construction activities and makes the construction industry particularly vulnerable to disruptions caused by balance-of-payments deficits.

(d) Strategy for the period 1984-1989

(i) The situation at the end of 1983

72. The following activities will have been completed by the end of 1983: the preparation of four reports and studies and the conducting of two demonstration projects on the use of local building materials and methods; the preparation of government policy guidelines on the improvement of the efficiency of the building industry and on the role and contribution of the construction sector with regard to national development goals; the establishment of a data base on building materials, plant and equipment which will provide the basis for activities focusing on import substitution in respect of materials and technologies; the effective utilization of energy, including the use of renewable energy sources in the design, construction and maintenance of buildings and in materials production; the preparation of guidelines for the rational planning of the construction sector.

(ii) The period 1984-1989

73. Research will be undertaken to test, evaluate and improve indigenous materials and products for possible import substitution, and criteria and guidelines will be developed and evaluated at expert group meetings and global seminars for distribution to Member States through publications, training workshops and technical co-operation programmes. National-level research on technological aspects of the construction sector will be promoted through the distribution of information materials and the convening of regional and subregional meetings.

Information, including audio-visual materials on building materials, plant and equipment, will be assembled, evaluated and distributed to Member States. Research will be undertaken on the use of renewable energy sources in and for buildings, including research aimed at the development of energy utilization criteria for passive systems for space heating and cooking, materials production and energy conservation in the design, construction, maintenance and operation of buildings. Draft criteria will be evaluated at expert group meetings and at a global seminar prior to finalization and distribution through publications and training workshops. Plans and schematic designs will be developed for labour-intensive medium-scale and small-scale building materials production facilities; these plans and designs will be tested in prototype situations and evaluated at expert group meetings, and the results will be disseminated through publications, audio-visual materials and training workshops. Demonstration projects utilizing improved building design concepts, technologies and products will be developed, executed and evaluated, with the results being presented to expert group meetings and disseminated through publications and training workshops.

(e) Evaluation

74. The purposes of evaluation are, firstly, to assess the extent to which Governments accept the policy guidelines and technical information and adopt and apply them in the design and management of construction programmes and, secondly, to identify subsectors of the building materials and construction industries which are making progress in import substitution. Information will be gathered through surveys of national authorities and analyses of national and international statistical data on construction and international trade in building materials.

75. Performance will be indicated by the extent to which national Governments adopt the suggested procedures and the extent to which demonstration projects are replicated. Impact indicators will include changes in volumes of local production and imports of building materials, growth of investment in indigenous construction activities, number and type of measures adopted for effective energy utilization, changes in energy demand, growth of indigenous employment and output in the construction sector, growth of indigenous research activity, and increases in the flow of information on these subjects, especially among developing countries. The sources of data will include specific surveys and case studies of national activities and government statistics relevant to the indicators mentioned above. The results of the evaluation will be used to redesign subprogramme activities, identify new programme elements and provide improved guidelines and recommendations.

SUBPROGRAMME 5 : APPROPRIATE INFRASTRUCTURE FOR LOW-INCOME SETTLEMENTS

(a) Legislative authority

76. The legislative authority for this subprogramme is as follows: Habitat: United Nations Conference on Human Settlements, recommendations for national action C.3, C.4, C.5, C.6, C.8, C.11 - C.14 and C.17; 11/ General Assembly resolutions 31/109, paragraphs 3, 5 and 6; 31/113; 32/162, section II, paragraph 3, section III, paragraph 5, and section V, paragraphs 1(d) and 3; International Development Strategy (A/35/592/Add.1), paragraphs 49 and 160.

(b) Objectives

77. The objectives of this subprogramme are:

(i) Intergovernmental objective

To provide infrastructure facilities for all people, beginning with the basic needs of the most disadvantaged, and to reduce the disparities between rural and urban settlements both between regions (subnational areas) and within individual settlements;

(ii) General objective of the Secretariat

To promote the development of appropriate standards and technologies for the provision of economically efficient infrastructure as an integral part of overall settlements planning and development;

(iii) Time-limited subsidiary objectives of the Secretariat

- a. To develop, test and disseminate appropriate standards and designs for the production and installation of infrastructure components for low-income urban and rural settlements (1985-1989);
- b. To develop and test alternative approaches in terms of cost and social acceptability for the integrated provision and improvement of infrastructure systems in low-income urban and rural settlements (1984-1989);
- c. To analyze, in developing countries, the relationships between intra-settlement and inter-settlement transport systems for persons and goods in terms of energy consumption, impact on land-use patterns and social equity (1986);
- d. To develop, test and disseminate methods for determining energy requirements, for conserving energy and for utilizing renewable sources of energy in the provision of infrastructure for low-income settlements;

(iv) Continuing objectives of the Secretariat

- a. To provide direct technical assistance to Member States for the provision of infrastructure to low-income populations;
- b. To promote the provision of infrastructure as a component of the integrated and overall planning of human settlements;
- c. To provide information on infrastructure for the Quinquennial Global Report on Human Settlements and to assist the Commission on Human Settlements to carry out its policy-making responsibilities in this area.

(c) Problem addressed

78. A lack of understanding about the interrelationships among infrastructure components, overall settlements development and economic growth is preventing Governments from developing and adopting economically and technically feasible programmes for the provision of infrastructure to all sectors of the population. In particular, Governments lack adequate information on the availability of cost-effective and socially acceptable indigenous standards and technologies for infrastructure, information that should be taken into account for policy decisions and programmes relating to low-income urban and rural settlements.

(d) Strategy for the period 1984-1989

(i) The situation at the end of 1983

79. An evaluation of data on human settlements infrastructure projects in a substantial number of countries and the results of three pilot projects on innovative technologies and three national workshops in Asia, Africa and Latin America will have been used to formulate recommendations and to provide technical assistance in connection with the integration of infrastructure into national low-income settlements programmes. Two reports on energy requirements in low-income settlements and a global review of transportation requirements in human settlements will have been completed.

(ii) The period 1984-1989

80. Research will be carried out to determine appropriate standards and designs for low-cost infrastructure components to be manufactured by the informal sector and to determine energy requirements and methods for conserving energy and using renewable energy sources; research will also be carried out to determine appropriate intra-settlement and inter-settlement systems for the transport of persons and goods. The findings of the research will be reviewed at expert group meetings and seminars prior to final revision and publication. Demonstration projects will be used to test alternative approaches to the improvement of infrastructure systems in low-income urban and rural settlements; these projects will be evaluated by an expert group of consultants and discussed at a global meeting. Training workshops on these subjects will be organized at the regional and national levels using manuals, data sheets and audio-visual materials.

(e) Evaluation

81. The purpose of evaluating this subprogramme will be to assess the extent to which Governments and individual communities find the information and suggested technological solutions acceptable and usable and the extent to which they adopt and apply them in the design and management of their infrastructure programmes. The evaluation will be based on surveys of national authorities and on the documented use of selected innovations.

82. Performance indicators will include requests by Governments for the outputs - publications, demonstration projects and technical assistance - and the delivery of these outputs. Impact indicators will include changes in the volume, cost and quality of services delivered by infrastructure systems to low-income groups, changes in potable water use (in litres per capita per day),

changes in the backlog in demand for house connections and sanitation facilities, changes in passenger-kilometers provided per passenger-unit of capacity, and changes in energy consumption and other costs of transport systems per passenger-kilometer and per passenger unit. Information will be collected from the surveys and case studies of national experiences cited above; the sources will be selected according to the different indicators found most suitable in different countries. The results of the evaluation will be used to redesign the subprogramme for increased effectiveness.

SUBPROGRAMME 6 : LAND

(a) Legislative authority

83. The legislative authority for this subprogramme is as follows: Habitat: United Nations Conference on Human Settlements, recommendations for national action, preamble to recommendations on land and recommendations D.1 - D.7; 12/ General Assembly resolutions 31/109, paragraphs 3, 5 and 6; 32/162, section II, paragraph 3, section III, paragraph 5, and section V, paragraphs 1(e) and 3; International Development Strategy (A/35/592/Add.1), para. 159.

(b) Objectives

84. The objectives of this subprogramme are:

(i) Intergovernmental objective

To develop and use land for settlements in a manner consistent with the interests of society as a whole;

(ii) General objective of the Secretariat

To formulate and disseminate effective governmental measures to facilitate the development and use of land for settlements in such a way as to serve the needs of the whole community;

(iii) Time-limited subsidiary objectives of the Secretariat

- a. To evaluate the effectiveness of existing national institutions and regulations for the formulation and implementation of land policies (by the end of 1985);
- b. To develop and disseminate techniques and methodologies for more effective land planning, control and regulation, with emphasis on cadastral mapping (to be completed by the end of 1989);
- c. To promote and establish improved national and international information systems on land in human settlements, and to provide training programmes (with appropriate technical support) on land management (by the end of 1989);

(iv) Continuing subsidiary objectives of the Secretariat

- a. To provide direct technical assistance to Member States in the design, implementation and evaluation of policies and plans for the development, use and control of land for settlements;
- b. To collect and continuously update information on land capacity, characteristics, tenure, use and legislation for Member States and the Quinquennial Global Report on Human Settlements;
- c. To promote the concept of land as a scarce resource whose management should be subject to public surveillance or control in the interests of the nation.

(c) Problem addressed

85. In many developing countries and in some developed countries, the existing systems that determine land use and land tenure do not meet the needs of rapid urbanization; in addition, they lead to the wastage of resources and they reinforce inequalities of wealth and opportunity. Given the existing great demand for land, uncontrolled speculation has in many countries raised the purchase price of land for housing beyond the reach of the poor majority of the population and has prevented the efficient expansion and development of human settlements. In many developing countries, existing legal and institutional means for land control and the implementation of land-use plans are greatly handicapped because of the lack of precise information on land ownership and use, the unsuitability of the models copied from developed countries and the inadequacy of existing financial and technical measures.

(d) Strategy for the period 1984-1989

(i) The situation at the end of 1983

86. During the 1982-1983 biennium, guidelines will be formulated to regulate land tenure and to facilitate the recapture of increases in land values (unearned private capital gains) for the benefit of the community. Several Member States will be assisted, upon request, to improve their institutional capacity to formulate and implement land policies and to develop efficient methods for land-use planning, management and control on the basis of mapping, land classification and evaluation systems, land cadastres, registers and inventories.

(ii) The period 1984-1989

87. Evaluative studies will be carried out on institutions and regulations related to the control of land use in order to measure the effectiveness of public agencies dealing with land-use, the effectiveness of land-use planning and codes; the merits of alternative public land acquisition methods and procedures, alternative land-use control techniques and their impact on land markets and pricing mechanisms, and the impact of various ownership patterns on urban development. Case studies, expert group meetings, seminars and demonstration projects will be used to provide data for, and evaluate the results

of, the research activities. Technical assistance will be rendered to Governments upon request to formulate and implement effective land policies and programmes. Such assistance might include: integrating the formulation of national land policies with overall settlements development policies and establishing land plans for the country and its regions and for individual urban and rural settlements; devising measures to improve the practicability of land-use plans and to give low-income families access to land for shelter, services and employment; improving methods of collecting and analyzing information on land through the use of, for example, remote sensing techniques, aerial photography, photogrammetry and computer storage and analysis of data, land registers, inventories and cadasters; drafting legislation to deal with public land control and regulations and to recapture increases in land value; testing (during the execution of UNCHS (Habitat) projects) recommendations and manuals of the United Nations system on land-tax administration, land valuation, standardized land-use statistics and uniform land classification; and holding training courses in the areas of activity described above. Exchanges of information and audio-visual materials on land will be organized, and support will be given to the regional commissions and Member States upon request to establish information systems on land. An interregional referral service will be established jointly with non-governmental organizations active in land-use matters.

(e) Evaluation

88. The purposes of evaluation will be to assess the effectiveness and impact of the subprogramme in strengthening Governments' capacities to regulate the tenure, development and use of land in ways consistent with the needs and interests of society as a whole and to determine at the national level what aids or hinders the subprogramme's effectiveness. The evaluation will be based on biennial and quinquennial national monographs which are to be prepared by Governments both for submission to the Commission on Human Settlements and as inputs for the Quinquennial Global Report on Human Settlements. Performance indicators would reflect Governments' views on the relevance and utility of the outputs. Impact indicators would include changes in the amount of land supplied by public authorities for housing, the share of land costs in total housing costs, the rates of increase in land prices and the use of findings for policy formulation by Member States. Information will be gathered from UNCHS (Habitat) technical co-operation projects, national Governments, the regional commissions, the specialized agencies, other United Nations bodies, and relevant non-governmental organizations, and the information thus gathered will be regularly updated. The findings will be used to modify the subprogramme as necessary to ensure increased effectiveness and to provide feedback for the decision-makers of Member States.

SUBPROGRAMME 7 : MOBILIZATION OF FINANCE FOR HUMAN SETTLEMENTS DEVELOPMENT

(a) Legislative authority

89. The legislative authority for this subprogramme is as follows: Habitat: United Nations Conference on Human Settlements, recommendations for national action A.4, A.6, C.8, C.9, C.15, D.3, E.6, F.1, F.3, F.6 and F.8; 13/ General Assembly resolutions 3327 (XXIX), annex, paragraph 1(a); 31/109, paragraphs 3, 5 and 6; 31/113; 32/162, section II, paragraph 3, section III, paragraphs 3(c), 4 and 5, and section V, paragraphs 1 and 3; 34/114, paragraph 2; 34/116, paragraph 1; International Development Strategy (A/35/592/Add.1), paragraphs 49, 159 and 160.

(b) Objectives

90. The objectives of this subprogramme are:

(i) Intergovernmental objective

To increase the volume of resources allocated to human settlements development in developing countries and to allocate these resources equitably and efficiently in providing shelter, infrastructure and services for the low-income groups in urban and rural areas;

(ii) General objective of the Secretariat

To develop strategies to remove obstacles blocking the flow of resources for settlements development from global, national and local sources and to formulate programmes for establishing or reorienting financial institutions so as to mobilize more finance for shelter, infrastructure and services for low-income groups;

(iii) Time-limited subsidiary objectives of the Secretariat

- a. To identify effective structures and procedures for financial intermediary institutions established in developing countries and concerned with financing settlements infrastructure and services, and to disseminate the findings (by 1987);
- b. To monitor and evaluate developments in existing non-conventional settlements finance institutions and new approaches for financing settlements development in the urban informal sector and in rural areas, and to disseminate the findings (by 1987);
- c. To improve the skills of personnel in financial intermediaries and non-conventional finance institutions (by 1989);

(iv) Continuing subsidiary objectives of the Secretariat

- a. To monitor international efforts to increase the flow of financial resources for infrastructure and services in urban and rural settlements in developing countries and to provide information for the Quinquennial Global Report on Human Settlements;
- b. To provide direct technical assistance to Member States on various aspects of human settlements finance.

(c) Problem addressed

91. Shelter, infrastructure and services have received a very low proportion of the total financial resources used for economic and social development, partly because of the low priority accorded to this field by Governments and partly because of the underdevelopment of the institutions which mobilize and

manage financial resources for settlements. Because of this low level of resources and because conventional financial institutions impose conditions which cannot be met by low-income families and communities, the shelter, infrastructure and services available for the lower-income groups in developing countries, in both urban and rural settlements, is seriously inadequate.

(d) Strategy for the period 1984-1989

(i) The situation at the end of 1983

92. Technical assistance will have been provided to several countries to develop or improve institutions which finance settlements development in the informal sector and to other institutions involved in the non-conventional financing of settlements development. An interregional workshop on financing the informal sector in settlements development will have been held, and the report of the workshop, as well as guidelines on financing the informal sector, will have been published.

(ii) The period 1984-1989

93. Information on financial intermediaries and non-conventional financial institutions for settlements development in developing countries will be collected and analyzed. The findings in these two areas will be evaluated at two expert group meetings and then revised, published and distributed.

94. The Centre will organize and carry out training courses on managerial and technical skills for the personnel of intermediary financial institutions, emphasizing skills needed for project preparation, analysis and evaluation, and for the personnel of non-conventional finance institutions, emphasizing skills needed for financial management and customer and community relations. Technical assistance will be provided to Member States and finance institutions through both short-term missions and long-term projects.

(e) Evaluation

95. The purpose of evaluation will be to assess the extent (demographic and geographic) and effectiveness of non-conventional approaches to financing shelter and community services in the informal sector and rural settlements and to determine the acceptability and usefulness of the recommendations for the development of financial intermediary institutions. The evaluation will be undertaken through surveys carried out jointly with Member States on the basis of questionnaires distributed to trainees at the end of, and a few years after, each training course and on the basis of field mission reports. A comprehensive evaluation will be submitted to a global expert group meeting in 1988-1989, and the recommendations of that meeting will guide the type and amount of future work in this area by the Secretariat.

96. Performance will be indicated by the geographic extent of the use of new or modified financial practices and institutions. Impact will be measured by changes in the volumes of resources provided for the types of facilities and services supported by these institutions, by changes in the number of low-income people having the use of these facilities and services, and by the performance of trainees in their subsequent duties. The findings will be used to document the most effective kinds of institutional development and related technical assistance and to determine whether or how the use of financial intermediaries and non-conventional financial institutions should be modified.

SUBPROGRAMME 8 : HUMAN SETTLEMENTS INSTITUTIONS AND MANAGEMENT

(a) Legislative authority

97. The legislative authority for this subprogramme is as follows: Habitat: United Nations Conference on Human Settlements, recommendations for national action F.1 - F.10; 14/ General Assembly resolutions 31/109, paragraphs 3, 5 and 6; 32/162, section II, paragraph 3, section III, paragraph 5, and section V, paragraphs 1(c) and 3; International Development Strategy (A/35/592/Add.1), paragraphs 49, 159 and 160.

(b) Objectives

98. The objectives of this subprogramme are:

(i) Intergovernmental objective

To establish and strengthen institutions at the national level and at other appropriate levels of government responsible for the formulation and implementation of settlements policies, strategies, plans and programmes for national, regional (subnational) and local development;

(ii) General objective of the Secretariat

To develop and disseminate strategies and techniques aimed at establishing or strengthening institutions for settlements development and developing managerial capabilities with regard to formulating and implementing settlements policies, strategies, plans and programmes;

(iii) Time-limited subsidiary objectives of the Secretariat

- a. To formulate guidelines and proposals for the introduction of appropriate legislative, institutional and management procedures and to establish mechanisms for the development of human settlements (to be completed and distributed by 1986);
- b. To design, implement and evaluate training courses in human settlements management for national and local government officials, with two or three courses to be given each year during the plan period;
- c. To provide institutional and management inputs for the other subprogrammes during the 1984-1989 plan period, particularly with respect to the institutionalization of settlements policy formulation and implementation, the design of regional (subnational) planning mechanisms, the mobilization of the informal sector and public participation, the institutionalization of the construction sector, intra-settlement and inter-settlement transportation systems, cadastral mapping, and settlements finance (as required between 1984 and 1989);

(iv) Continuing subsidiary objectives of the Secretariat

- a. To monitor trends and identify and evaluate issues in human settlements institutions and management for Member States, the Commission on Human Settlements and the Quinquennial Global Report on Human Settlements;
- b. To improve the substance and methods of training for settlements management;
- c. To provide direct technical assistance to Member States on selected aspects of settlements institutions and management;
- d. To promote the co-ordination of human settlements institutions with institutions responsible for national economic and social development and environmental plans and policies;
- e. To acquire and disseminate knowledge and information on human settlements and to maintain referral and project support communication services.

(c) Problem addressed

99. Many Governments lack adequate data collection capabilities, institutions and managerial capabilities for the formulation and implementation of policies, strategies, plans and projects for settlements development and operation because of their limited experience in this field and a lack of adequate trained manpower. The development and staffing of settlements institutions at the subregional, regional and global levels is inadequate. At the international level, there is an absolute shortage of information programmes aimed at the needs of settlements institutions in developing countries and of interregional and regional mechanisms for the exchange of information.

(d) Strategy for the period 1984-1989

(i) The situation at the end of 1983

100. The following elements are scheduled to be completed by the end of 1983: technical report on a comparative analysis of existing settlements institutions and on settlements management problems; guidelines on basic issues in human settlements institutions and management and recommendations on ways of dealing with these issues; training courses in human settlements management with an emphasis on the improvement of the urban habitat; a survey of training needs and opportunities and of the state of the art in training for human settlements management; the establishment of an interregional network for the exchange of human settlements information; the provision of information upon request; four years' publication of Habitat News (three issues per year); and, in general, the establishment of UNCHS (Habitat) as the major vehicle at the global level for the dissemination of information, including audio-visual materials, on human settlements matters, especially in developing countries.

(ii) The period 1984-1989

101. During the period 1984-1987, research and analysis on institutions and management will be undertaken in connection with delivery systems for infrastructure and public services, primarily those provided by local government authorities to low-income groups. The outputs will be evaluated at ad hoc expert group meetings and used in workshop and training courses. During the period 1988-1989, the information and materials gathered from the training activities under way since 1980 will be further developed, refined and synthesized into a comprehensive training package on "The management of human settlements". Pilot and demonstration projects on settlements institutions and management will be designed and implemented with a view to increasing and directing the flow of funds from international sources for the development of large-scale programmes for settlements development. Reports and audio-visual materials will be prepared on the basis of the outputs from the demonstration projects in order to assist Member States in developing and strengthening their national human settlements institutions. Assistance will be provided to national Governments upon request on the formulation of settlements legislation and regulatory mechanisms, the establishment or strengthening of settlements institutions and the improvement of their management capability, and the mobilization of participation by target groups in the design and implementation of settlements development programmes. The human settlements information services of UNCHS (Habitat) will be upgraded through the introduction of improved techniques for technical information services, the preparation of audio-visual materials for training programmes, the strengthening of distribution systems and the publication of a professional journal on human settlements.

(e) Evaluation

102. The purposes of evaluation will be to assess the extent to which Governments find the human settlements information services, policy recommendations and training programmes appropriate to their needs and the extent to which they are using them to improve institutional capacities for human settlements development, as well as to examine the impact of the training programmes on national human settlements decision-making. Information will be gathered from surveys conducted jointly with relevant national agencies. The quality of the training programmes will also be assessed through questionnaires administered during and at the end of each course, the monitoring of follow-up actions by course participants and the measurement of the degree to which the training materials and approaches are adopted by educational centres at the subregional and national levels. Performance indicators would consist of: measures of the relevance of UNCHS (Habitat) policy recommendations to identified problems, as reported to field missions, through correspondence and at international meetings; the number of requests for reports, audio-visual material and follow-up technical assistance; measures of the quantity and quality of training programmes; and the number of training courses, applicants, participants and countries represented. Impact indicators would include: the number of countries adopting recommendations for institutional arrangements and utilizing the materials distributed; the number of pilot projects leading to related large-scale programmes; the follow-up actions taken by course participants; the adoption of UNCHS (Habitat) training materials and approaches by various types of educational institutions; the number of responses and actions generated by the information publications; film screenings and articles in professional journals. Evaluation will be effected through joint UNCHS/country/surveys

on the utilization of recommendations, through course questionnaires and through continued contacts (mainly by correspondence) with course participants, assisted Governments and media representatives. The findings will be utilized to redirect the Centre's activities in this subprogramme with a view to increasing its suitability and effectiveness.

C. Organization

1. Intergovernmental review

103. The work of the Secretariat in this programme is reviewed by the Commission on Human Settlements, which meets every year. The Commission's fourth session is to be held from 27 April to 6 May 1981. This plan is to be reviewed by the Commission.

2. Secretariat

104. The secretariat unit responsible for this programme is the United Nations Centre for Human Settlements (Habitat), in which, as of 1 January 1981, there were 81 authorized professional posts (44 regular budget and 37 extrabudgetary). Also as of 1 January 1981, the Centre comprised the following divisions:

<u>Unit (Division)</u>	<u>Professional posts</u>		<u>Total</u>
	<u>Regular budget</u>	<u>Extrabudgetary sources</u>	
Direction and management.....	10	2	12
Research and Development.....	22	5	27
Technical Co-operation.....	3	16	19
Information, Audio-visual and Documentation.....	5	8	13
Administration and common services.....	4	6	10
Total.....	44	37	81

3. Divergences between current administrative structure and proposed programme structure

105. In each of the subprogrammes, the technical assistance activities will be carried out by the Technical Co-operation Division, the research and development activities (including training) will be carried out by the Research and Development Division, and the information activities (including audio-visual and documentation) will be carried out by the Information, Audio-visual and Documentation Division.

D. Co-ordination

1. Needed intergovernmental co-ordination

106. The ECE Ad Hoc Consultative Meeting of Governmental Experts on Land Use and Land-Use Planning (15-17 March 1978) concluded that, inter alia:

(a) There is a need for harmonization between countries of land-use classification and systems of data collection. Uniform classification and evaluation systems should be adopted and effective techniques for applying these should be developed;

/...

(b) There is a need to harmonize data requirements and delivery systems for rural land-use planning. Land-use statistics should be standardized to improve international comparability and reliability (ECE/AC.6/R.2, recommendations 2 and 3).

107. The Commission on Human Settlements may wish to concur with the foregoing conclusions and recommend that intergovernmental co-ordination in these subjects should be co-ordinated at the global level, for example by a subcommittee of the Administrative Committee on Co-ordination (ACC).

2. Formal co-ordination within the Secretariat

108. Under General Assembly resolution 32/162, section VI, paragraph 1, and General Assembly resolution 35/77, the Executive Director of UNCHS (Habitat) and the bureau of the Commission on Human Settlements meet annually with the Executive Director of UNEP and the bureau of its Governing Council to review together their respective priorities and programmes for improving human settlements and to strengthen and to extend co-operation between the two organizations.

3. Formal co-ordination within the United Nations systems

109. Under the terms of General Assembly resolution 32/162, section III, paragraphs 5(a) and 5(b), UNCHS (Habitat) is responsible for, inter alia, ensuring the harmonization at the inter-secretariat level of human settlements programmes planned and carried out by the United Nations system and assisting the Commission on Human Settlements in co-ordinating human settlements activities in the United Nations system, keeping them under review and assessing their effectiveness. Under General Assembly resolution 32/162, section II, paragraph 4(b), the Commission's functions and responsibilities include following closely the activities of the organizations of the United Nations system and other international organizations in the field of human settlements and proposing, when appropriate, ways and means by which the over-all policy objectives and goals in the field of human settlements within the United Nations system might best be achieved. In this connection, in its resolution 35/77, the General Assembly invited the Secretary-General to arrange, in consultation with the members of the Administrative Committee on Co-ordination, for UNCHS (Habitat) to participate in all aspects of the work of that Committee and its subsidiary machinery.

110. The Executive Director of UNCHS (Habitat) has signed memoranda of understanding with the heads of UNDRO and UNHCR in order, inter alia, to co-ordinate work programmes and activities in the field of human settlements. Discussions are under way to sign similar memoranda with several other units. Arrangements have also been concluded with the regional commissions for the redeployment of UNCHS (Habitat) staff to implement the regional component of the UNCHS (Habitat) work programme. These arrangements will provide for collaboration and co-operation to ensure co-ordination of the UNCHS (Habitat) work programme and the work programmes of the regional commissions in the field of human settlements.

4. Units with which significant joint activities are expected during the period 1984-1989

111. Significant joint activities are expected with the following:

(a) Department of International Economic and Social Affairs:

(i) Statistical Office: UNCHS (Habitat) and the Statistical Office will

collaborate in preparing the outline of topics, in drawing up the questionnaire to be submitted to Governments and in collecting and classifying data for the preparation of the 1986 and 1989 editions of the Compendium on Human Settlements Statistics and the 1984 and 1989 editions of the Quinquennial Global Report on Human Settlements;

- (ii) Population Division: The Population Division and UNCHS (Habitat) will co-operate in a joint project to analyze national population distribution policies and subnational demographic trends;
- (iii) Office for Development Research and Policy Analysis: Collaboration with the Projections and Perspective Studies Branch in forecasting and assessing the likely conditions in human settlements during the period 2000-2020;
- (b) Regional commissions: Collaboration with and support for ECA, ECE, ECLA, ECWA and ESCAP in connection with research, training, technical assistance, information exchange, demonstration projects and meetings related to all sub-programmes throughout the plan period; the exact activities, outputs and roles of UNCHS (Habitat) and the regional commissions to be decided at periodic joint programming meetings during which the regional components of the global programmes of the Commission on Human Settlements will be harmonized with the work programme of each regional commission;
- (c) Department of Technical Co-operation for Development: Collaboration in projects on human settlements;
- (d) United Nations Development Programme (UNDP): UNCHS (Habitat) will be the executing agency for a wide variety of human settlements technical co-operation projects funded by UNDP, including projects on the development of the construction sector to be carried out in co-operation with the Industry Council for Development Inc. (a non-governmental organization);
- (e) Food and Agricultural Organization of the United Nations (FAO): Collaboration in projects for rural settlements, including projects related to the collection and analysis of information on land use, and in the follow-up to the World Conference on Agrarian Reform and Rural Development;
- (f) International Bank for Reconstruction and Development (IBRD): Continued collaboration between UNCHS (Habitat) and the Economic Development Institute with a view to organizing and conducting training courses in the management of human settlements; collaboration in the development and dissemination of low-cost technologies for the construction and provision of infrastructure, including transport facilities and energy supplies, in low-income settlements;
- (g) International Fund for Agricultural Development (IFAD): Co-operation in the design, implementation and evaluation of joint projects to alleviate rural poverty and improve the quality of life in rural areas;

(h) World Health Organization (WHO): Technical collaboration on the provision of infrastructure in low-income settlements, the appraisal of projects and the implementation of demonstration projects in connection with the International Drinking Water Supply and Sanitation Decade;

(i) International Labour Organization (ILO): A training programme on public participation in programmes for sites and services and the upgrading of slums and squatter settlements. ILO is also expected to collaborate with UNCHS (Habitat) in providing training for the construction sector, including training related to the provision of infrastructure, and in identifying target groups and designing curricula for training at different levels;

(j) United Nations Industrial Development Organization (UNIDO): Technical collaboration in the development of the building materials and construction industries, with standards being developed for design and construction under seismic conditions;

(k) United Nations Educational, Scientific and Cultural Organization (UNESCO): Technical collaboration in the development of endogenous building technologies, related training, the adaptation of existing technologies and their application under field conditions;

(l) United Nations Conference on Trade and Development (UNCTAD): Collaboration to improve ways and means of transferring construction technologies, to identify the nature, scope and duration of technologies, including energy technologies and machinery for the construction sector, and to participate in the comprehensive new substantive programme for the least developed countries;

(m) Office of the United Nations Disaster Relief Co-ordinator (UNDRO): Technical support from UNCHS (Habitat) for the preparation of UNDRO technical documents in the field of earthquake-resistant construction and the pre-disaster planning of human settlements in disaster-prone areas;

(n) Office of the United Nations High Commissioner for Refugees (UNHCR): Development by UNCHS (Habitat) of guidelines, standards and designs for the provision of shelter, infrastructure and services to refugee populations and for settlements planning;

(o) Centre for Science and Technology for Development: Technical collaboration in the development and application of appropriate human settlements technologies;

(p) World Food Programme (WFP): Continued UNCHS (Habitat) substantive support to WFP settlements-related projects, emphasizing appraisal, design, formulation, monitoring and evaluation;

(q) United Nations Fund for Population Activities (UNFPA): Co-operation in the implementation of the Rome Declaration on the urban future;

(r) United Nations Children's Fund (UNICEF): Collaboration in respect of community development in rural areas and low-income urban areas, focusing on community development projects related to infrastructure and the delivery of community services;