



HOUSING AND LAND RIGHTS NETWORK

Habitat International Coalition

Habitat II Evaluation Criteria

As HIC's president presented in the CSO Roundtable @ WUF (Medellín), we share three fundamental concerns going forward in the Habitat III preparations:

1. Processes should be as inclusive as possible;
2. The Habitat Agenda should remain focused on the "habitat" in both word and deed, not reduced to a narrower and increasingly contentious "urban agenda";
3. The human rights approach is indispensable.

In HIC's view, Habitat III cannot succeed to deliver on its promises and expectations without an evaluation of implementing Habitat II commitments before all else. In order for the process and the stakeholders to demonstrate integrity over the bi-decennial global policy formulation, this should be reflected in both the processes and contents of its preparations, including—and especially—in national, regional and global Habitat III reports.

Neither UN-Habitat programs, related forums or annual reports since 1996 have reflected the implementation of commitments, with some few exceptions, for example:

- Indeed, ESCWA hosted periodic conferences (at least since 1998) on implementation of Habitat II, but those became a showcase of existing practice and political discourse, but never sought to assess implementation of the Habitat II commitments.
- The Istanbul+5 Special Session of the GA (2001) reaffirmed the Habitat II commitments (but did not seek to assess to what extent states were fulfilling them. (Monitoring in the UN development system concentrated more on MDGs since then, but the minimal MDGs lacked the ample commitments of Habitat II.)

For example, no word about implementing the Habitat Agenda can be found in either the relevant annual reports or the GA 2nd Committee and ECOSOC agenda items:

- Implementation of the outcome of the United Nations Conference on Human Settlements (Habitat II) and strengthening of the United Nations Human Settlements Programme (UN-Habitat)
- ECOSOC report "Coordinated Implementation of the Habitat Agenda: Report of the Secretary-General"

Instead, these documents consistently report only what UN-Habitat is doing, without any discernable link to the Habitat II Agenda.

The recent OIOS evaluation of UN Habitat also omitted a review of the UN specialized organization's implementation, monitoring or stewardship role vis-à-vis the Habitat II Agenda, or its function as it relates to the combined tripartite UN Charter-based purposes (i.e., forward development, peace and security and human rights). UN-Habitat is rather globally identified—and self-identified—with the Washington Consensus among IFIs, quite distinctly from other UN Charter-based specialized organizations operating remedially in their respective development specializations. UN-Habitat's

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approach to Habitat III holds an opportunity to correct this anomaly and realign itself to the UN Charter principles.

As serial assessments and reports have followed UN-Habitat's project-based programming—and not the Habitat II Agenda—we are left going into the Habitat III process without an actual review of those 1996 commitments and UN-Habitat's guidance forecloses the opportunity for such a performance evaluation.

The Habitat III reporting opportunity

The current reporting processes, at all levels, present a golden—indeed last—opportunity to review, assess implementation of, reaffirm and/or augment the principled commitments of 1996. Therefore, in order to “**Look to the Future,**” while ensuring relevance, coherence, efficiency, effectiveness, impact and sustainability [basic OECD/UN evaluation criteria], it is indispensable for all levels of reporting and preparations for Habitat III *first* to “**Assess Progress**” on those very Habitat II commitments, as promised:

Evaluation of Habitat II Implementation:

Following the approach of Habitat II, that document provides its own guide to an assessment of implementation by committed states and other stakeholders [ID = Istanbul Declaration, H2 = Habitat II Agenda]. The Istanbul Declaration embodies the promise of states and their governments in resolution format, reflecting a sense of urgency at the deterioration of living conditions and explaining how they have integrated the previous principles adopted and commitments made in previous conferences and their outcome documents into the Habitat II Agenda. The states make a commitment to a *comprehensive* approach.

ID: 3–5: Improve the quality of life within human settlements (**better standards of living in larger freedom** for all humankind), addressing:

- Unsustainable consumption and production patterns, particularly in industrialized countries;
- Unsustainable population changes, including changes in structure and distribution, giving priority consideration to the tendency toward excessive population concentration;
- Homelessness;
- Increasing poverty;
- Unemployment;
- Social exclusion;
- Family instability;
- Inadequate resources;
- Lack of basic infrastructure and services;
- Lack of adequate planning;
- Growing insecurity and violence;
- Environmental degradation; and
- Increased vulnerability to disasters (ID: 4).

While addressing these challenges, the states acknowledged that they affect, at once, the global community and face countries and regions, cities, towns and villages throughout the world, particularly in developing countries, where the situation is especially grave, and in countries with economies in transition (ID: 5).

Rural and urban development are interdependent

The “habitat” approach, as defined at Habitat II, therefore, encompasses comprehensive rural development through such measures as equal access to land, land improvement, economic

diversification, the development of small and medium-scale cities in rural areas and, where appropriate, indigenous land settlements (ID: 6; 10; H2: 46.d; 68; 68.c; 70.a; 70.c; 75; 79m; 104; 113.a–n; 114).

Promote and protect all human rights and fundamental freedoms for all

Habitat II reaffirms already binding obligations pertaining to habitat, in particular, the habitat-related human rights and the corresponding duties enshrined in international law. The Agenda also refers to human rights, generally, and to particular human rights at least 67 times throughout the text, and cited human rights treaties and declaratory instruments in 11 distinct references.

- The Istanbul Declaration and Habitat II Agenda cite the **human right to adequate housing** 61 times:
 - **The commitment to protect from, and redress forced evictions is a core promise** (H2: 40n, 61b, 98b)
 - While harkening back to the International Year of Shelter for the Homeless and the Global Strategy for Shelter to the Year 2000, the states and governments at Istanbul in 1996 promised to combat **homelessness** ten times throughout the Habitat II Agenda (ID: 4; H2: 8; 11; 38; 40.l; 61.c(iv), d; 115; 119.k; 204.y).

Participation and Partnership

In pursuit of the corresponding treaty obligations and declaratory commitments, the states vowed, “we shall seek the active participation of our public, private and non-governmental partners at all levels to ensure legal security of tenure, protection from discrimination and equal opportunities to attain and sustain affordable, adequate housing for all persons and their families” (ID: 8).

Among the **principles of partnership and participation**, the states and governments pledged to “the most democratic and effective approach for the realization of our commitments” by partnering with:

- Democratic local authorities as our closest partners,
- Parliamentarians,
- Private sector,
- Labor unions
- Nongovernmental and other civil society organizations
- Women

Goals and Principles

The states gathered at Habitat II also pledged themselves to carry out the necessary remedies that require positive actions at the global level that relate to **international cooperation**—an over-riding principle human rights treaty implementation—in the fields of financing development, managing and reducing external debt, and the responsible conduct of international trade and transfer of technology (ID: 5).

Chapter II of the Agenda enshrines a commitment to “a political, economic, environmental, ethical and spiritual vision of human settlements based on the equality, solidarity, partnership, human dignity, respect and cooperation (H2: 25). Within this normative framework, anchored in existing binding instruments, the Habitat II Agenda set out the specific performance criteria of states and governments necessary to ensure the exercise of human rights through the equitable and sustainable development of the human habitat—both urban and rural—through agreed-upon measures, reforms and processes to promised actions.

Promised Actions

Chapter III is the operative section of the Agenda, which specifies how states and governments set out to achieve the practical dual purpose outlined in the Istanbul Declaration:

- **Expand the supply of affordable housing** (ID: 9)
- **Sustain our global environment** (ID: 10).

Chapter III of the Habitat II Agenda orders the “Commitments.” The quintessential contribution and progressive commitment at Habitat II was the acceptance and practical efforts in the complementary fields of (1) **Governance** and (2) **Human Right to Adequate Housing**. Chapter III provides six categories of promised actions, answering the important question “how” the promises are to be fulfilled throughout the duration of the Habitat II Agenda; that is, until its review and renewal in 2016. The following outline memorializes those specified actions as a basis for evaluating implementation of the 20-year promise:

A. Adequate Shelter for All

- a. Prohibit any discrimination (ID:7, 9, 15, 16; H2: 16; 27; 34; 39; 40.j; 43.v; 61.a; 79.f(v); 96.c, d, e; 118.b; 119.l; 160.a; 182.g)
- b. Guarantee legal security of tenure and equal access to land; recognize and legitimize the diversity of land delivery mechanisms (H2: 61.c; 74.c; 75)
- c. Promote, support services for the homeless and other vulnerable groups in consultation with them (H2:61.c(iv)), no penalization of homeless people for their status (H2: 61.b)
- d. Making housing habitable, affordable and accessible (H2: 61.c)
- e. Sustainable spatial development patterns and transportation systems that improve accessibility of goods, services, amenities and work (ID: 10; H2: 9; 29; 30; 43.c, n, p; 61.c; 96.f; (vii); 69.c; 84; 85.c; 109; 113,h, l; 119.a; 121.b; 146a, h, l; 147; 149—51.a—e; 154.i; 156; 169.c; 185; 186f—h; .)

B. Sustainable Human Settlements

- a. Integrate shelter policies, employment generation (labor-intensive construction), social protection (H2: 115), environmental protection, preservation of cultural heritage, resource mobilization and the maximization of resource efficiency (expenditure, taxation, monetary and planning policies), environmental protection and preservation of cultural heritage
- b. Respect the urban-rural nexus (H2: 113.a—n; 114);
- c. Apply appropriate fiscal measures, including taxation, to promote the adequate supply of housing and land (H2: 72.f)
- d. Facilitating community-based, self-built production of housing (H2: 72.b; 73; 74)
- e. Preserve sites of historical, cultural, architectural, natural, religious and spiritual value (ID: 12; H2: 30; 43.r; 43.s; 108; 120; 152; 153; 154)

C. Enablement and Participation

- a. Establish/maintain broad-based participatory and consultative mechanisms that involve representatives from public, private, nongovernmental, cooperative and community sectors, including women, minorities, children, youth, people with disabilities, older persons and persons living in poverty and exclusion, at all levels in the policy development process (H2: 50.c; 113.l)
- b. Establish/maintain processes for coordination and decentralization that define clear local-level rights and responsibilities in policy-development process (H2: 68.b)
- c. Fully integrate women, youth (H2: 120), disabled (H2: 121) and marginalized persons in rural and urban development, planning and service benefits
- d. Create an enabling framework for a well-functioning housing market (H2: 71)

- e. Avoid inappropriate interventions that stifle supply and distort demand for housing and services (H2: 72.b)
- f. Develop appropriate cadastral systems and streamline land registration procedures, in order to facilitate the regularization of informal settlements (H2: 79.j)
- g. Promote/enhance awareness campaigns, education and enabling practices (H2: 78.b) community awareness of issues facing women in poverty, the homeless, migrants, refugees, other displaced women (H2: 119.k)
- h. Establish/maintain participatory, community-based, legally regulated and environmentally sound land management (H2: 113–14)

D. Gender equality

- a. Promote gender-sensitive planning and management of human settlements (H2: 119.a–l); integrate gender-sensitive planning, legislation, design, decision making, policies, programs, projects and analysis (H2: 46.a–e)
- b. Assess housing supply and demand on a gender-disaggregated basis (H2:72.a)
- c. Implement the right to inheritance and the ownership of land and other property, credit, natural resources and appropriate technologies (H2: 78.f)
- d. Collect, analyze and disseminate gender-disaggregated data and information, including statistical means that recognize and make visible the unremunerated work of women, for use in policy and program planning and implementation (H2: 46.c; 51; 72; 119.j; 120.f; 127.b; 180.g,l; 208.6; 239)

E. Financing shelter and human settlements

- a. Treat housing as a productive sector with public support (H2: 47)
- b. Allocate and manage resources efficiently, effectively and accountably (H2: 47; 48.f)
- c. Promote equal access to credit for all people (H2: 48.e)
- d. Institute appropriate regulatory measures and market incentives to expand the affordable housing supply (H2: 61.c(i))
- e. Adopt policies aimed at community-based, cooperative and nonprofit rental and owner-occupied housing, mobilizing innovative financial and other resources (H2: 61c(ii))
- f. Create/promote market-based incentives to encourage the private sector to meet the need for affordable rental and owner-occupied housing (H2: 61.c(iii))
- g. Mobilize innovative financial and other resources—public and private—for housing and community development (H2: 61.c(v))
- h. Recognize that local institutions involved in microcredit may hold the most potential for housing the poor (H2: 47)
- i. Create/promote market-based incentives to encourage the private sector to meet the need for affordable rental and owner-occupied housing (H2: 61.c(vi))
- j. Facilitate investment in the supply of both rural and urban shelter by the private sector (H2:68.b)
- k. Adopt innovative instruments that capture gains in land value and recover public investments (H2: 76.h)
- l. Increase the effectiveness and transparent use of public and private resources, reduce waste and untargeted expenditure (H2:204.k)
- m. Recognize the negative effect of excessive military expenditures and trade in arms, especially of arms that are particularly injurious or have indiscriminate effects, and excessive investment for arms production and acquisition (H2: 204.l)

F. International cooperation

- a. Raise the priority of adequate shelter among multilateral and bilateral donors, mobilizing support for national, subregional and regional plans of action (H2: 204.a)
- b. Fulfill the agreed target of 0.7% of GNP of developed countries for ODA and the share for adequate shelter and human settlements development (H2: 204.b)
- c. Fulfill the agreed target of 0.15% of GNP of developed countries as ODA to LDCs for adequate shelter and sustainable human settlements development (H2: 204.c)¹
- d. Ensure that structural adjustments are consistent with the economic and social conditions, concerns, objectives and needs (H2:204d)
- e. Invite IFIs to examine innovative approaches to assisting low income countries with a high proportion of multilateral debt, with a view to alleviating their debt burden (204.e)
- f. Invite multilateral development institutions and bilateral donors to support countries, particularly developing countries, in their efforts to pursue enabling strategies through which national governments, local authorities, non-governmental organizations, communities and the private and cooperative sectors can form partnerships (H2: 204.f)
- g. Enhance awareness of issues facing migrants, refugees, other displaced women in need of international protection (H2:119.k; 204y)
- h. Strengthen, support and expand South-South cooperation, including through triangular cooperation (H2: 204.g)
- i. Consolidate international solidarity to provide adequate shelter for all and sustainable human settlements development for people living under foreign occupation (H2: 204.h)
- j. Promote transfer of financial and other resources directly from a donor local authority to their partner local authority in a developing country (H2: 204.i)
- k. Improve coordination between and among donors and United Nations operational activities for national sustainable human settlements development strategies (H2:204.j)
- l. Give preference, wherever possible, to the utilization of competent national experts in developing countries or, subregion or region or from other developing countries, and to the building of local expertise (H2: 204.m)

G. Assessing progress

- a. Monitor and evaluate housing conditions, including the extent of homelessness and inadequate housing, and, in consultation with the affected population (H2: 61.d)
- b. Formulate, adopt and implement appropriate housing policies, effective strategies and plans to address habitat problems (H2: 61.d)
- c. Disaggregate quantitative and qualitative indicators at the national and local levels (shelter-related information systems, including gender-disaggregated data) (H2: 46.c; 51; 72.a; 119.j; 121.f; 127.b; 180.g, l; 208.b; 239)
- d. Promote the use of tools and the development of capacities for transparent urban monitoring and reporting activities based on appropriate indicators for the environmental, social and economic performance of cities (H2: 113.k)
- e. Monitor the impact of macroeconomic policies on shelter delivery systems (H2: 40.a; 62; 65; 67.b; 115; 186.d; 189.b; 201.b)
- f. Enhance awareness of issues facing migrants, refugees, other displaced women in need of international protection (H2:119.k; 204)
- g. All partners of the Habitat Agenda (governments, local authorities, private sector and communities), regularly monitor and evaluate their own performances in the implementing the Habitat Agenda. [UN-Habitat] responsibilities include providing assistance to establish guidelines for national and local monitoring and evaluation of Habitat Agenda implementation through housing and human settlements indicator programs (H2: 240).

¹ Paris Declaration and Programme of Action for the Least Developed Countries in the 1990s (para. 23).

ANNEX: UN Habitat's National Habitat III Reporting Guidance

Assessing Progress and Looking to the Future: Format and Content of the National Report

The National Report should not exceed 25,000 words, or 50 pages. This is inclusive of tables and illustrative material. The Report should be prepared using MS Word, single line spacing and font size 12, and should be submitted by 30 June 2014, by email, to the Habitat III Secretariat at habitat3.secretariat@unhabitat.org.

In cases where National Reports are prepared in Arabic, Chinese, French, Spanish and Russian, an English translation of the report should also be submitted together with the copy of the report in the original language.

The Report should be empirical, and illustrated with current data, as well as relevant programmes and policies, and should also be forward-looking. The sources of information, bibliography and individuals contacted in the process of preparing the Report should be provided at the end of the document.

The National Report should follow the structure provided in the outline below.

I. Urban Demographic Issues and Challenges for a New Urban Agenda (Maximum of 4160 words inclusive of tables and illustrative material)

Describe what your Central Government, Local Authorities (including the major cities) and other subnational governmental authorities, in partnership with stakeholders, have achieved, through the Habitat Agenda, in the areas listed below. Also describe the challenges experienced and lessons learnt in these areas, as well as future challenges and issues that could be addressed through a New Urban Agenda:

1. Managing rapid urbanization (540 words)
2. Managing rural-urban linkages (540 words)
3. Addressing urban youth needs (540 words)
4. Responding to the needs of the aged (540 words)
5. Integrating gender in urban development (540 words)
6. Challenges experienced and lessons learnt in these areas (1-5) (730 words)
7. Future challenges and issues in these areas (1-5) that could be addressed by a New Urban Agenda (730 words)

II. Land and Urban Planning: Issues and Challenges for a New Urban Agenda (Maximum of 4160 words inclusive of tables and illustrative material)

Describe what your Central Government, Local Authorities (including the capital or major city) and other subnational governmental authorities, in partnership with stakeholders, have achieved, through the Habitat Agenda, in the areas listed below. Also describe the challenges experienced and lessons learnt in these areas, as well as future challenges and issues that could be addressed through a New Urban Agenda:

8. Ensuring sustainable urban planning and design (540 words)
9. Improving urban land management, including addressing urban sprawl (540 words)
10. Enhancing urban and periurban food production (540 words)
11. Addressing urban mobility challenges (540 words)
12. Improving technical capacity to plan and manage cities (540 words)
13. Challenges experienced and lessons learnt in these areas (8-12) (730 words)
14. Future challenges and issues in these areas (8-12) that could be addressed by a New Urban Agenda (730 words)

III. Environment and Urbanization: Issues and Challenges for a New Urban Agenda (Maximum of 3560 words inclusive of tables and illustrative material)

Describe what your Central Government, Local Authorities (including the capital or major city) and other subnational governmental authorities, in partnership with stakeholders, have achieved, through the Habitat Agenda, in the areas listed below. Also describe the challenges experienced and lessons learnt in these areas, as well as future challenges and issues that could be addressed through a New Urban Agenda:

15. Addressing climate change (540 words)
16. Disaster risk reduction (540 words)

17. Reducing traffic congestion (540 words)
18. Air Pollution (540 words)
19. Challenges experienced and lessons learnt in these areas (15-17) (700 words)
20. Future challenges and issues in these areas (15-17) that could be addressed by a New Urban Agenda (700 words)

IV. Urban Governance and Legislation: Issues and Challenges for a New Urban Agenda (Maximum of 4160 words inclusive of tables and illustrative material)

Describe what your Central Government, Local Authorities (including the capital or major city) and other subnational governmental authorities, in partnership with stakeholders, have achieved, through the Habitat Agenda, in the areas listed below. Also describe the challenges experienced and lessons learnt in these areas, as well as future challenges and issues that could be addressed through a New Urban Agenda:

21. Improving urban legislation (540 words)
22. Decentralization and strengthening of local authorities (540 words)
23. Improving participation and human rights in urban development (540 words)
24. Enhancing urban safety and security (540 words)
25. Improving social inclusion and equity (540 words)
26. Challenges experienced and lessons learnt in these areas (20-24) (730 words)
27. Future challenges and issues in these areas (20-24) that could be addressed by a New Urban Agenda (730 words)

V. Urban Economy: Issues and Challenges for a New Urban Agenda (Maximum of 4160 words inclusive of tables and illustrative material)

Describe what your Central Government, Local Authorities (including the capital or major city) and other subnational governmental authorities, in partnership with stakeholders, have achieved, through the Habitat Agenda, in the areas listed below. Also describe the challenges experienced and lessons learnt in these areas, as well as future challenges and issues that could be addressed through a New Urban Agenda:

28. Improving municipal/local finance (540 words)
29. Strengthening and improving access to housing finance (540 words)
30. Supporting local economic development (540 words)
31. Creating decent jobs and livelihoods (540 words)
32. Integration of the urban economy into national development policy (540 words)
33. Challenges experienced and lessons learnt in these areas (27-31) (730 words)
34. Future challenges and issues in these areas (27-31) that could be addressed by a New Urban Agenda (730 words)

VI. Housing and Basic Services: Issues and Challenges for a New Urban Agenda (Maximum of 4800 words inclusive of tables and illustrative material)

Describe **what your Central Government, Local Authorities** (including the capital or major city) and other subnational governmental authorities, in partnership with stakeholders, have **achieved, through the Habitat Agenda**, in the areas listed below. Also describe the **challenges experienced** and **lessons learnt** in these areas, as well as **future challenges and issues** that could be addressed through a New Urban Agenda:

35. Slum upgrading and prevention (540 words)
36. Improving access to adequate housing (540 words)
37. Ensuring sustainable access to safe drinking water (540 words)
38. Ensuring sustainable access to basic sanitation and drainage (540 words)
39. Improving access to clean domestic energy (540 words)
40. Improving access to sustainable means of transport (540 words)
41. Challenges experienced and lessons learnt in these areas (34-36) (780 words)
42. Future challenges and issues in these areas (34-36) that could be addressed by a New Urban Agenda (780 words)

VII. Indicators

Provide data for your country for the following urban indicators. Data should be for 1996, 2006 and 2013, when possible disaggregated by gender:

- i. Percentage of people living in slums
- ii. Percentage of urban population with access to adequate housing
- iii. Percentage of people residing in urban areas with access to safe drinking water
- iv. Percentage of people residing in urban areas with access to adequate sanitation
- v. Percentage of people residing in urban areas with access to regular waste collection
- vi. Percentage of people residing in urban areas with access to clean domestic energy
- vii. Percentage of people residing in urban areas with access to public transport
- viii. Level of effective decentralization for sustainable urban development measured by:
 - (i) Percentage of policies and legislation on urban issues in whose formulation local and regional governments participated from 1996 to the present;
 - (ii) Percentage share of both income and expenditure allocated to local and regional governments from the national budget;
 - (iii) Percentage share of local authorities' expenditure financed from local revenue.
 - ix. Percentage of city, regional and national authorities that have implemented urban policies supportive of local economic development and creation of decent jobs and livelihoods
 - x. Percentage of city and regional authorities that have adopted or implemented urban safety and security policies or strategies
 - xi. Percentage of city and regional authorities that have implemented plans and designs for sustainable and resilient cities that are inclusive and respond to urban population growth adequately
 - xii. Share of national gross domestic product (GDP) that is produced in urban areas
 - xiii. Any other urban-related data relevant to the National Report

VIII. Case Studies and Policy Documents

Countries are encouraged to submit case studies, action plans, and policy documents etc. on successful approaches to the implementation of the Habitat Agenda. These documents should be illustrative of the achievements mentioned in the Habitat III national report. However, these documents should not be submitted as part of the national report, but as additional material.