



# HOUSING AND LAND RIGHTS NETWORK

## Habitat International Coalition

### National Habitat III Parallel Reporting Method

As HIC's President Lorena Zárate presented in the CSO Roundtable at WUF7 (Medellín), HIC Members and partners 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 the narrower and increasingly contentious "urban agenda";
3. The human rights approach is essential, although it remains untried, despite the Habitat II commitments.

In HIC's view, Habitat III cannot succeed to deliver on its promises and expectations without evaluating first the implementation of Habitat II commitments. In order for the Habitat III processes and the stakeholders to maintain some measure of integrity and coherence over the bi-decennial global policy formulation, both the processes and contents of Habitat III preparations, including—and especially—in national, regional and global Habitat III reports.

Habitat III involves several layers of preparations by diverse actors, including policy papers, national reports, regional reports as input

-Habitat programs, related forums or annual reports since 1996 have not aligned with, related to, or mentioned 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 promote, support or 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 alignment with commitments of Habitat II.)

Moreover, no word about implementing the Habitat Agenda can be found in either the relevant annual reports and the GA 2<sup>nd</sup> Committee and ECOSOC agenda items, despite their titles:

- The General Assembly 2<sup>nd</sup> Committee's "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)" and
- ECOSOC report and agenda item: "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, its organization, normative content or commitments.

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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 functions related 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, which operate rather to remedy the consequences in their respective development specializations. UN-Habitat's approach to Habitat III could offer an opportunity to correct this anomaly and realign itself to the UN Charter principles. However, no such prospect is on the official program.

As serial assessments and reports have followed UN-Habitat's project-based programming—but not the Habitat II Agenda—we are left going into the Habitat III process without an actual review of those 1996 commitments. Further, UN-Habitat's guidance for national reporting actually forecloses the opportunity for such a performance evaluation. An alternative approach is needed if any coherence and learning from the past is to serve the current Habitat III processes.

### **The Habitat III Reporting Opportunity**

The current reporting processes, at all levels, present a golden—indeed last—opportunity to review, 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.

[Here: a proposal of reports two parts to them. The first is an “Evaluation of Habitat II Implementation,” and the second part is “Looking Forward.”

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](mailto:habitat3.secretariat@unhabitat.org) and [www@www.org].

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

The purpose of the Parallel National Reports is to provide a critical analysis of past performance (since Habitat II) and to set the Habitat Agenda in your country for the period 2016–36. That latter exercise will involve some speculation; however, it should take into account especially those priorities that have emerged in greater relief since the last Habitat Agenda.

The Parallel National Reports should be empirical, and illustrated with current data, as well as analytical of relevant programmes and policies. The sources of information, bibliography and individuals contacted in the process of preparing the Parallel National Reports should be provided at the end of the document.

The Parallel National Reports should follow the structure provided in the outline below, with certain stipulations. Given that the parallel reports will be produced by civil society organizations, the authors likely will not have at their disposal the resources available to governments and UN institutions. The approach might have to depend on the human and other resources available and, therefore, are not likely to be comprehensive in evaluating all of the Habitat II commitments and/or projecting all of the priorities foreseen in the coming 20 years.

Therefore, any parallel report would differ in volume, coverage and scope from other CSO reports. However, in order to maintain the best possible opportunity for crossanalysis, it is recommended that each follow the same order of issues as presented in this outline. The “Evaluation” part follows the organization of the actual Habitat II Agenda, and the “Looking Forward” section has adapted the organizational structure of the UN-Habitat Guidelines for National Habitat III Reports, however, with a focus on recommendations for reform and problem solving not found in the UN-Habitat methodology.

### **Evaluation of Habitat II Implementation**

*Following the commitments of Habitat II, the outcome document provides its own guide to an assessment of implementation by committed states and other stakeholders [ID = Istanbul Declaration, H2 = Habitat II Agenda].*

*Describe what your central government, local authorities (including the major cities) and other subnational governmental authorities, in partnership with stakeholders, have fulfilled of their Habitat II Agenda commitments, as provided in the outline below. Also describe the challenges experienced and lessons learnt through success or failure in these areas.*

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;
- unemployment;
- social exclusion;
- family instability;
- increasing poverty;
- inadequate resources;
- lack of adequate planning;
- environmental degradation;
- growing insecurity and violence;
- increased vulnerability to disasters;
- lack of basic infrastructure and services.

ID: 6: **Rural and urban development are interdependent**

- a. Promote 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 (H2: 79m)

ID: 7–8: **Promote and protect all human rights** and fundamental freedoms for all

- Human right to adequate housing (61 cites in ID and H2)
  - **Protecting from, and redress for forced evictions** (H2: 40n, 61b, 98b)

ID: 9: Expand the **supply of affordable housing**

ID: 10: **Sustain our global environment**

ID: 11: **Principles of partnership and participation** as the most democratic and effective approach for the realization of our commitments:

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

Among all the promises of the Habitat II Agenda and its “Global Plan of Action” was the quintessential contribution, progressive commitment and practical efforts pledged to deliver democratic **Governance** and realize the **Human Right to Adequate Housing**. In particular, the human right to adequate housing was so prominent in the outcomes documents that the repeated the acceptance of, and commitment to that principal habitat right 61 times. The states’, governments’ and UN specialized agencies’ focus on governance and human rights remained consistent throughout the Agenda, organized by operational themes:

- A. Adequate shelter for all
  - a. Prohibit any discrimination
  - b. Legal security of tenure and equal access to land; Recognize and legitimize the diversity of land delivery mechanisms (H2: 74.c; 75)
  - c. Making housing habitable, affordable and accessible (Community-based, cooperative and non-profit rental and owner-occupied housing programmes; services for the homeless; Mobilizing innovative financial and other resources; Creating and promoting market-based incentives to encourage the private sector to meet the need for affordable rental and owner-occupied housing; Sustainable spatial development patterns and transportation systems)
  
- B. Sustainable human settlements
  - a. Integrate shelter policies, employment generation (labour-intensive construction), 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. Apply appropriate fiscal measures, including taxation, to promote the adequate supply of housing and land (H2: 72.f);
  - c. Facilitating community-based, self-built production of housing (H2: 72.b; 73; 74);
  
- C. Enablement and participation
  - a. Broad-based participatory and consultative mechanisms that involve representatives from public, private, nongovernmental, cooperative and community sectors, including representatives of groups that are considered to be living in poverty, at all levels in the policy-development process (ID: 7, 8, 12; H2: 4, 7, 13–18, 27, 30, 32–33, 36, 43–46, 48, 59, 61, 63, 67–68, 74, 78–79, 81, 84–85, 87, 90–92, 96–98, 100, 103, 113–16, 118–126, 135, 139, 141–42, 144, 153, 159, 160–61, 164–65, 167, 169, 172, 174–75, 177, 179–82, 189, 192, 195, 197–98, 201, 204, 213, 220–21, 228, 231, 237, 241);
  - b. Processes for coordination and decentralization that define clear local-level rights and responsibilities within the policy development process (H2: 68.b);
  - c. Governments create an enabling framework for a well-functioning housing market (H2: 71);
  - d. Avoid inappropriate interventions that stifle supply and distort demand for housing and services (H2: 72.b);

- e. Develop appropriate cadastral systems and streamline land registration procedures in order to facilitate the regularization of informal settlements (H2: 79.j);
  - f. Promote awareness campaigns, education and enabling practices (H2: 78.b).
- D. Gender equality
- a. Assess housing supply and demand on a gender-disaggregated basis (H2:72.a);
  - b. Implement the right to inheritance and the ownership of land and other property, credit, natural resources and appropriate technologies (H2: 45, 78.f);
  - c. Gender sensitive approaches, policies, planning, assessments, legislation, institutions and data collection (disaggregation) (H2: 45–46, 57, 60, 67, 72, 74, 78, 119, 182, 184, 186, 189, 191, 193, 208, 239, 241).
- E. Financing shelter and human settlements
- a. Facilitate investment in the supply of both rural and urban shelter by the private sector (H2:68.b);
  - b. Adopt of innovative instruments that capture gains in land value and recover public investments (H2: 76.h).
- F. International cooperation
- a. International cooperation and universal solidarity, guided by the purposes and principles of the Charter of the United Nations, and in a spirit of partnership, are crucial to improving the quality of life of the peoples of the world (H2: 1);
  - b. The preservation of the natural heritage and historical human settlements, including sites, monuments and buildings, particularly those protected under the UNESCO Convention on World Heritage Sites (H2: 30,
  - c. Assist in the implementation of national plans of action and the global plan of action and in the attainment of the goals of the Habitat Agenda by contributing to and participating in multilateral, regional and bilateral cooperation programmes and institutional arrangements and technical and financial assistance programmes; by promoting the exchange of appropriate technology; by collecting, analysing and disseminating information about shelter and human settlements; and by international networking (H2: 49, 171, 210, 212);
  - d. Promoting responsive international cooperation between public, private, non-profit, non-governmental and community organizations (H2: 49, 197, 198);
  - e. Recognize the essential role of local authorities in international cooperation among municipalities and communities (H2: 102, 108, 180, 197);
  - f. The shift from aid to trade clearly points to the need for the participation of the private sector in the shaping of international cooperation (H2: 195);
  - g. Encourage international cooperation in order to address relevant impacts of international migration through, inter alia, technical assistance, management know how and exchange of information (H2: 202);
  - h. Cooperation in monitoring and reporting progress of Habitat II Agenda implementation (H2:220, 222).
- G. Assessing progress

- a. Effective monitoring and evaluation of housing conditions, including the extent of homelessness and inadequate housing, and, in consultation with the affected population
- b. Formulating and adopting appropriate housing policies and implementing effective strategies and plans to address those problems (H2: 51–52);
- c. Disaggregated quantitative and qualitative indicators at the national and local levels (shelter-related information systems, including gender-disaggregated data) (H2: 46, 51, 67, 72, 119, 127, 180, 208, 239);
- d. Monitor the impact of macroeconomic policies on shelter delivery systems (H2: 40, 62, 65, 67, 115, 186, 189, 201).

#### H. Indicators

Provide data for your country for the following human settlement indicators. Data should be for 1996, 2006 and 2013, when possible disaggregated by gender, ability, work and descent, migration and residency status and any other relevant criterion:

- i. Numbers, percentage and distribution of people living in informal settlements meeting the criteria of a slum
- ii. Numbers, percentage and distribution of urban population with access to adequate housing
- iii. Numbers, percentage and distribution of people with access to safe drinking water
- iv. Numbers, percentage and distribution of people with access to adequate sanitation
- v. Numbers, percentage and distribution of people with access to regular waste collection
- vi. Numbers, percentage and distribution of people with access to clean domestic energy
- vii. Numbers, percentage and distribution of people working in informal employment
- viii. Numbers, percentage and distribution of people with access to adequate public transport
- ix. Level of effective decentralization for sustainable urban development measured by:
  - (i) Policies and legislation on urban issues in whose formulation local and regional governments participated from 1996 to the present;
  - (ii) Percentage and distribution of both income and expenditure allocated to local and regional governments from the national budget;
  - (iii) Share of local authorities' expenditure financed from local revenue, central budgets.
- x. Numbers, percentage and distribution of city, regional and national authorities that have implemented urban policies supportive of local economic development and creation of decent jobs and livelihoods
- xi. Numbers, percentage and distribution of city and regional authorities that have adopted or implemented urban safety and security policies or strategies
- xii. Numbers, percentage and distribution 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
- xiii. Share of national gross domestic product (GDP) that is produced in urban areas
- xiv. Share of national gross domestic product (GDP) that is produced in rural areas
- xv. Any other urban-related data relevant to the National Report

#### I. Case Studies and Policy Documents

Authors 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.

## Looking Forward

*The purpose of this section is to provide the elements of the New Habitat Agenda that reflect the priority commitments of various spheres of government to achieve the bundle of habitat rights guaranteed by states, as well as realize emerging rights (e.g., energy, land, transport, collective right to the city) as a function of the New Habitat Agenda. This outline closely follows that provided in the UN-Habitat Guidelines for National Habitat III Reports. However, it includes some adjustments to allow for civil society priorities and self-expression, while maintaining the dual approach of evaluating fulfillment of the Habitat II commitments (in the previous section), and then projecting here the priorities and commitments sought over the coming Habitat Agenda period.*

### I. Demographic Issues and Challenges for a New Habitat Agenda

Describe what you prioritize as issues and expectation you perceive for the central government, local authorities (including the major cities) and other subnational governmental authorities in your country to do over the coming period of the New Habitat Agenda (2016–36). Provide any scenarios of optimum partnerships with stakeholders in the fields and on the issues listed below. Be as comprehensive as you can, basing your vision on experiences and lessons learnt, as well as identify any emerging and/or likely future challenges and issues that should be addressed through a New Habitat Agenda:

1. Managing rapid urbanization and population dynamics (XXX words)
2. Integrated planning for balanced rural and urban development, particularly considering current and anticipated patterns of housing, labor, transport, city-region food systems (XXX words)
3. Addressing the needs of rural and urban youth in human settlements (XXX words)
4. Responding to the needs of the aged in human settlements (XXX words)
5. Integrating gender equality and diversity in urban development (XXX words)
6. Project the ethnic, religious, cultural, language, income and other diversity questions that affect human settlement development for the coming bi-decennial, including any forms of discrimination, polarization or social integration dynamics (XXX words)

### II. Planning

Describe the principal land, water and natural resource use issues in development (spatial and public administration) planning for a New Habitat Agenda (maximum XXX words inclusive of tables and illustrative material):

7. Ensuring sustainable human settlement planning and design (XXX words)
8. Improving land administration, including equitable distribution and use, and addressing urban sprawl (XXX words)
9. Enhancing urban and peri-urban food production and consumption within a city-region food system (XXX words)
10. Addressing urban mobility challenges (XXX words)
11. Improving technical capacity to plan and manage human settlements (XXX words)
12. Improving resources to plan and manage human settlements (XXX words)
13. What I to be done to ensure the optimum degree of effective participation in the various spheres of planning?

**III. Environment and Urbanization:** (maximum of XXX words inclusive of tables and illustrative material)

Assess the trends in the environmental impact of urbanization in your country, and identify the policy and program priorities for the New Habitat Agenda. Taking into consideration also the heightened risks and consequences of climate change since Habitat II, describe the priorities in mitigating and/or adapting human settlements in your country.

15. Addressing climate change (XXX words)
16. Disaster-risk reduction (XXX words)
17. Reducing traffic congestion (XXX words)
18. Air Pollution (XXX words)
19. Sanitation and waste management (XXX words)
20. Other environmental hazards or policy priorities (XXX words)

**IV. Governance and Administration:** (maximum of XXX words inclusive of tables and illustrative material)

What are the priorities and commitments needed for operationalizing the right to the city (or human rights in the city, urban rights, human rights habitat, human rights city, etc.) in your country.

21. Social function of the city/human settlement (XXX words)
22. Democratic management of the city/human settlement (XXX words)
23. Improving local government constitutional and legislative framework (XXX words)
22. Social function of land and property (XXX words)
23. Social production of the city/human settlement (XXX words)
24. Enhancing urban safety and security (XXX words)
25. Improving social inclusion and equity (XXX words)

**V. Urban Economy** (maximum of XXX words inclusive of tables and illustrative material)

What are the priorities and commitments needed for ensuring equitable economic performance of the city/human settlement in your country, including:

26. Improving municipal/local finance (XXX words)
27. Strengthening and improving access to housing finance (XXX words)
28. Supporting local economic development (XXX words)
29. Creating and sustaining decent jobs and livelihoods (XXX words)
30. Alignment of the urban and rural economy with national development policy (XXX words)
31. Measures to be taken to realize resource sharing and social function of the economy, including via land-value capture, *plusvalía*, etc. (XXX words)

**VI. Housing and Basic Services** (maximum of XXX words inclusive of tables and illustrative material)

What are the priorities and commitments needed to adequate housing for all in cities/human settlements in your country, including:

32. Slum upgrading and prevention (XXX words)
33. Improving access to adequate housing, including a range of secure tenure options (XXX words)
34. Ensuring sustainable access to safe drinking water (XXX words)
35. Ensuring affordable and sustainable basic sanitation, drainage and solid-waste management (XXX words)
36. Improving access to clean energy for household and public use for all (XXX words)
37. Improving access to affordable and sustainable means of transport for all (XXX words)
38. Challenges experienced and lessons learnt in realizing effective public control and management of public goods and services (780 words).