



***“CAPACITY BUILDING PROGRAMME  
FOR URBAN DEVELOPMENT & HOUSING”***

Summary report on  
**2<sup>nd</sup> workshop on housing and urban management in SEE,  
Vienna, Seminarhotel Strudlhof – 11 May 2005**

Review of

*housing related modules and operational modalities of a capacity building programme  
proposal for urban development and housing in the SEE region*

SPECIAL CO-ORDINATOR  
OF THE STABILITY PACT  
FOR SOUTH EASTERN EUROPE

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c/o Swiss Mission  
Place du Luxembourg 1  
B-1050 Brussels (Belgium)

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Tel.: +32 (2) 286 1364  
Fax: +32 (2) 286 1390

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Website: [www.stabilitypact.org](http://www.stabilitypact.org)  
E-mail: [bjoern.gabriel@stabilitypact.org](mailto:bjoern.gabriel@stabilitypact.org)

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## Introduction and background

In September 2004, Ministers from South Eastern Europe signed the “Vienna Declaration on Informal Settlements” at a high level meeting organised by the Stability Pact, supported by the Institut für Donauraum und Mitteleuropa (IDM) and hosted by the OSCE and the Vienna municipality, and working group discussions to operationalise the declaration held during this Ministerial conference identified as a vital interest of SEE governments and international institutions to develop a regional SEE capacity building instrument to train national as well as municipal officials in the area of housing and urban management.

Supported by the Ministère des Affaires Etrangères of Luxemburg in 2005, the Housing and Urban Management Initiative (HUMI) of the Stability Pact, together with its partners, has embarked on a support programme for (i) *the development of a capacity building programme for urban development and housing in the SEE region* (namely Albania, Bosnia-Herzegovina, Croatia, Montenegro, Republic of Macedonia, Serbia and UNMIK/Kosovo) and (ii) *assisting the signatories in implementing the Vienna Declaration and addressing informal settlement issues*.

During 2005 this support programme will specifically support the following:

- a) Preparation of a *regional programme proposal for a capacity building programme* and
- b) Formulation of *National Action Plans to implement Vienna Declaration commitments and initial monitoring of their implementation*.

A first regional technical preparatory workshop on housing & urban management in SEE was held in Brussels, during 22-23 March 2005 to review the following:

1) two draft *programme proposals for housing and urban planning/management capacity building activities in South Eastern Europe*, one on Urban planning and management presented by the Kosovo-based UN-HABITAT team and one on priority housing issues presented by the Stability Pact consultants tasked with this assignment. The proposals generated considerable discussion and a proposal for a joint further development process (please also see report on this workshop). Based on the two presentations made by UN-HABITAT and a consortium of Dutch consultants, the participants agreed that both proposals addressed high priority capacity building needs and that their further development is therefore urgent. As significant substantive areas of common concern were identified by the participants (e.g. the spatial planning/informal settlements resolution nexus, and the issue of security of land-tenure), it was agreed that it will make sense to work towards a unified approach to develop a capacity building programme for urban development and housing in the SEE region (namely Albania, Bosnia-Herzegovina, Croatia, Montenegro, Republic of Macedonia, Serbia and UNMIK/Kosovo). An alternative parallel preparatory trajectory was seen as sub-optimal, given the limited absorptive capacity in the SEE countries, and the potential for duplication and competition for the same resources for programme implementation.

2) Draft *“Vienna Declaration Action Matrix” (VDAM)* of the countries signatory to the Vienna Declaration, indicating each Country's goals, activities, benchmarks, involved actors and timelines regarding the implementation of Vienna Declaration commitments. This matrix is intended to serve as an efficient tool to (a) generate necessary technical and/or financial assistance for implementation of national strategies and (b) monitor regional progress of activities related to informal

settlement resolution and prevention. Matrices were presented by the representatives from Macedonia, Montenegro and Serbia and reviewed by the workshop participants, with recommendations for further development. Due to the absence of representatives from Albania and UNMIK/Kosovo, their matrixes could not be presented and discussed, and it was agreed that this will be tabled in the next working meeting on 11 May 2005.

Based on the March workshop conclusions and recommendations, UN-HABITAT and HUMI/Stability Pact continued work on the formulation of a proposal for a regional capacity building programme for urban development and housing in the SEE region.

## **2<sup>nd</sup> workshop on housing & urban management in SEE - proceedings**

On 11 May 2005, the Stability Pact (with logistical support by IDM) hosted a second workshop (programme design review meeting) in Vienna with Ministry representatives and experts from South Eastern Europe, international sector experts (Planning Institutes, Academia, NGOs) and representatives of UN-HABITAT and the Open Society Institute to discuss and validate the programme's substance, housing related modules and operational modalities and procedures. Representatives of the Austrian Development Agency participated as observers. The meeting's agenda and list of participants can be found under Annex 1.

After the meeting was opened by Mr. Bjoern Gabriel on behalf of HUMI/Stability Pact and Ms. Elisabeth Belpaire, UN-HABITAT, the meeting's moderator reviewed past progress and the meeting's work programme, and requested Ms. Belpaire to reiterate the overall UPMFA framework as the basis for the overall capacity building programme.

### Regional Capacity Building Programme

After that, the HUMI/Stability Pact consultants presented their draft proposal on capacity-building for housing in South Eastern Europe in that context. The participants' observations and subsequent discussion on this proposal focused both on the thematic substance of the proposed housing modules, as well as on the operational modalities.

With regard to the thematic substance the following observations were made:

- a) Capacity-building is not only training, but also inherent in processes of institutional change and learning-by-doing;
- b) It should be clarified under what circumstances introductory modules can be dispensed with;
- c) The definitions of terms should be better clarified: e.g. what is meant by project (- is it a capacity-building activity or a physical development intervention-) and housing associations (- this is an important point as new institutional sector arrangements will be required in virtually all countries -);
- d) The reciprocity of "project" implementation and the organisation of capacity building activities should be specified;
- e) Emphasis needs to be given to the need to nurture new institutional forms in housing management;
- f) More emphasis may be given to housing finance issues;

- g) Consideration should also be given to housing for special groups, e.g. refugees.

With these observations, and in the understanding that the approach will be flexible, and will respond to local perceptions of gaps and priorities, the housing modules were endorsed by the participants for inclusion as options in the programme.

The discussion on operational modalities was supported by a further presentation by the UN-HABITAT team. The ensuing discussion focused on the proposed operational management arrangements, particularly the role, level and composition of steering committees, and on the principles/criteria for project/activity formulation and approval within the programmatic framework.

With regard to the programme management arrangements proposed, it became clear that at country level varying arrangements will be required, given the different institutional setting in each country. It was also observed that this also depends on the actual capacity-building delivery systems. In Croatia, for instance, perhaps much of the capacity-building could be conducted through the network of county and municipality planning organisations, whereas in other countries the associations of local governments could be dominant actors, although the level of strength and experience of these organisations appear to vary significantly between the participating countries.

At the regional level the Steering Committee would have to consist of representatives of the participating countries (focal point ministries), UN-HABITAT as the executing agency and the donor agencies. It was noted that the programme framework itself and the way in which activities could be applied for and funded, would in large measure determine functional programme management arrangements. In that context it was noted that the management structure should be as least bureaucratic and top-heavy as possible.

For the formulation and approval of specific activities to be funded by the programme, it was suggested that the tool of a mini-project document, or initiating brief (IB) would be developed. Such an IB would not only define the specific activity and the arrangements for its implementation, but also demonstrate adherence to pre-set formulation and approval criteria, request/approve the activity budget, and form the base-line for implementation monitoring. Depending on budget size, IB approval could be done by the programme manager or by the regional steering committee.

Activity formulation and approval principles/criteria identified were the following:

- Concentration, i.e. a demonstration that the activity is part of a coherent approach within the broad thematic programme framework;
- Integration, i.e. that it is not an activity in isolation, but sufficiently connected to other activities in the overall housing and urban development orbit;
- The activity should demonstrate the value-added of a cross-border regional approach;
- The activity should be target-oriented, strategic and catalytic, i.e. for instance trigger major investments;
- The activity budget should not be funded 100% from programme resources; a counterpart contribution from the proponent agency should always be identified and committed to;

- Implementation arrangements for the activity should be realistic and doable.

A further issue commented on was the degree of problem analysis required to enable the formulation of a full and unified programme document. Some participants held the view that further analytical work and sensitisation workshops are required before this can be done, whereas others saw such analysis and workshops as initial steps/activities (where required) in programme implementation in the participating countries, with only a generic programme scope to be described up-front in the programme document (e.g. along the lines of the Urban Management Programme or the Cities Alliance). There was general agreement that a minimum level of validation of a draft programme document by the participating countries will need to be defined and achieved before a programme document can be formally submitted to the donor community.

#### Erhard Busek Award

The attention of the meeting participants was drawn to the second round (2005) of the Erhard Busek award for housing research for young housing researchers in East and South East Europe with a view to stimulating additional entries into this second round of the award competition. Entry forms were circulated and participants encouraged to pass on the information. Entries into the competition can be submitted until 20 June 2005 and the award winners will be announced on 20 August at the Alpbach Architecture Symposium.

#### Action-plans to implement the Vienna Declaration

The delegations of Albania and Kosovo presented their Vienna Declaration Action Matrix (VDAM) and illustrated this with progress of work in informal settlements in Tirana and informal settlements survey work in pilot municipalities in Kosovo. Following consideration of a limited number of clarifying questions, it was noted that with the presentation of these two VDAMs, all signatories to the Vienna declaration have now formulated and adopted an action plan, which will be used to monitor implementation progress both nationally, as well regionally through the agreed six-monthly regional monitoring meetings under HUMI/SP auspices, the first of which is tentatively scheduled for October 2005.

### **Summary conclusions and next steps**

At the end of the meeting conclusions and next steps to be taken were summarized by the moderator as follows:

#### The proposed regional capacity-building programme

With the observations made on the housing modules presented, the meeting validated and endorsed the overall thematic scope of the proposed programme, with a number of country-specific observations to be incorporated. The discussion on operational modalities focused on the programme management arrangements, including the role of programme partners, and formulation/approval principles and criteria required, as well as on the extent of further preparatory work needed. It was agreed that the operational modalities to be adopted will need to be responsive to the needs of a flexible, demand-driven programmatic approach within an agreed framework. The observations made in the meeting will need to be carefully considered by the programme designers, in order to ensure an implementable, flexible approach with a light but effective oversight structure.

On 17-18 May 2005, the bi-annual Stability Pact Regional Table meetings were held in Sofia, Bulgaria. HUMI/SP and UN-HABITAT reported on the status quo of the ongoing programme development and assessed donor interest in supporting the proposed capacity-building programme.

#### The Vienna Declaration Action Matrices (VDAMs)

The meeting acknowledged the VDAMs presented by the Albanian and Kosovo teams, and established that the basis for national and regional Vienna Declaration implementation monitoring has now been established among the signatories of the declaration along a common format.

#### The following next steps are envisaged:

- a) Based on the inputs received in the meeting the HUMI/Stability Pact and UN-HABITAT teams will jointly put together a unified capacity-building programme document for review in the next meeting (to be held once the draft document has been established). *It is envisaged that this will require a further preparatory effort beyond the resources currently available.*
- b) The HUMI/Stability Pact and UN-HABITAT teams will develop a small preparatory document for donor support (final preparatory phase) by early-June.
- c) If funding for this can be found timely, this will enable the preparation of a consolidated document for presentation at the Vienna declaration review meeting proposed for 13-14 October 2005.
- d) At the October 2005 review meeting the signatory countries to the declaration will present implementation progress of their VDAMs.

Brussels, 25 May 2005

**Annex 1.1: Meeting agenda**

| <b>Wed 11 May 2005</b>                 |      |  |           |
|--|------|--|-----------|
| <b>Programme design review meeting</b> |      |  |           |
| Time                                   | Room | Event / Content  | Min       |
| <b>09.15 – 09.45 h</b>                 |      | <b>Welcome of participants, introduction of meeting objectives and adoption of agenda</b>  | <b>30</b> |
| <b>09.45 – 11.15 h</b>                 |      | <b>Presentation of housing related programme modules –</b><br>General observations by participants and discussion of specific activities     | <b>90</b> |
| <b>11.15 - 11.30 h</b>                 |      | <b>Coffee Break</b>  | <b>15</b> |
| <b>11.30 – 13.00 h</b>                 |      | <b>Presentation of operational modalities of the programme -</b><br>General observations by participants and discussion of specific elements | <b>90</b> |
| <b>13.00 – 14.00 h</b>                 |      | <b>Lunch break</b>   | <b>60</b> |
| <b>14.00 - 15.30 h</b>                 |      | <b>Comments and suggestions on additional elements of the proposal &amp; recommendations for further preparatory process</b>                 | <b>90</b> |
| <b>15.30 - 15.45 h</b>                 |      | <b>Coffee Break</b>  | <b>15</b> |
| <b>15.45 - 16.45 h</b>                 |      | <b>Presentation and review of two draft Ministerial action plans to implement the Vienna Declaration</b>                                     | <b>60</b> |
| <b>16.45 - 17.15 h</b>                 |      | <b>Summary conclusions and next steps</b>  | <b>30</b> |

**Annex 1.2: List of participants**

| <b>Ministerial representatives SEE</b>   |  |   |   |   |
|--|--|---|---|---|
|  | <b>Function</b>  | <b>Name</b>                                 | <b>Contact</b>  |   |
| <b>Ministry of Territory Regulation and Tourism, Albania</b>   | Director of Legalization Agency  | Eduard Cane                                 | Blvd. Dëshmoret e Kombit, Tirana, Albania; fax + 355 4 22 78 79   |   |
| <b>Ministry for Human Rights and Refugees, Bosnia-Herzegovina</b>                                    | Head of Unit   | Nermina Džepac-Ganibegović                  | TRG BiH 1, Sarajevo, Bosnia-Herzegovina; phone +387 33 442 870, fax +387 33 667 061, email nermina.dzepar@mhrr.org                          |   |
| <b>Ministry for Human Rights and Refugees, Bosnia-Herzegovina</b>                                    | Advisor to Deputy Minister   | Ivica Kovacević                             | TRG BiH 1, Sarajevo, Bosnia-Herzegovina; phone +387 33 445 082, fax +387 33 445 122, email ivica.kovacevic@mhrr.org                         |   |
| <b>Ministry of Environmental Protection, Physical Planning and Construction, Republic of Croatia</b> | Senior Adviser   | Aleksandar Basic                            | Ul. Republike Austrije 20, 10000 ZAGREB, Croatia; phone +385 (0) 1 37 82 447, fax +385 (1) 3772 822, email aleksandar.basic@mzopu.hr        |   |
| <b>Ministry of Transport and Communication, Republic of Macedonia</b>                                | Head of Department for Documentation and Land Management                                 | Gajur Kadriu                                | Pl. Crvena Skopska opština 4, 1000 Skopje, R. Macedonia; phone +389 2 3145 487, fax +389 2 3117 012, email gajur@mtc.gov.mk                 |   |
| <b>Ministry for Urban Planning and Protection of the Environment, Montenegro</b>                     | Chief inspector for Civil Engineering  | Rina Ivancević                              | TRG "Vektra", Podgorica, Montenegro; phone +381 81 658 126, fax +381 81 234 131, email rinaiv@cg.yu   |   |
| <b>Ministry for Capital Investment, Serbia</b>   | Head of Housing Department   | Svetlana Ristić                             | 10 A Kralja Milutina St, Belgrade; phone +381 11 32 31 628; fax +381 11 32 40 268, svetlanar@mugrs.sr.gov.yu                                |   |
| <b>Ministry of Environment and Spatial Planning, UNMIK/Kosovo</b>                                    | Director, Housing and Construction Department  | Lirie Berisha                               | Nazim Gafurri 31, Prishtina, UNMIK/Kosovo; phone +381 38 517 632, fax +381 517 800, email lirie.berisha@mmp.org                             |   |
| <b>Ministry of Environment and Spatial Planning, UNMIK/Kosovo</b>                                    | Director of Institute for Spatial Planning   | Ilir Gjinolli                               | Nazim Gafurri 32, Prishtina, UNMIK/Kosovo; phone +377 44 504 025, fax +381 517 713, email ilir.gjinolli@iph-ks.org, ilir_gjinolli@yahoo.com |   |
| <b>Regional and International Experts</b>  |  |   |   |   |
|  | <b>Organ/Instit</b>  | <b>Position/Job title</b>                   | <b>Name</b>   | <b>Contact</b>  |
|  | <b>Austrian Development Agency (ADA)</b>   | Programmes for Albanien, Mazedonien, Kosovo | Dr. Hubert Neuwirth   | Zelinkagasse 2, A-1010 Wien; phone +43 1 90 3 99 - 543, fax +43 1 90 3 99 - 290, email hubert.neuwirth@ada.gv.at  |
|  | <b>Austrian Development Agency (ADA)</b>   | Programmes for Albanien, Mazedonien, Kosovo | Florian Raunig  | Zelinkagasse 2, A-1010 Wien; phone +43 1 90 3 99 - 539, fax +43 1 90 3 99 - 1539, email florian.raunig@ada.gv.at  |
|  | <b>City Bureau for Development Planning and Environmental Protection, City of Zagreb</b> | Senior Adviser                              | Sanja Saban   | Republike Austrije 18, 10000 Zagreb, Croatia; phone +385 1 610 1868, email sanja.saban@zagreb.hr  |
|  | <b>Co-Plan, Institute for Habitat Development</b>  | Director                                    | Besnik Aliaj  | Str. Dervish Hima, Ada Tower, Ap.11, KP 2995 Tirana, Albania; phone +355 4 2578 08 or 09, GSM +355 69 20 34 126, fax +355 4 2578 07, email besnik_aliaj@co-plan.org |

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|--|---|----------------------|---|
| <b>FGW - Research Institute for Housing, Building and Planning</b>                               | Managing Director   | Dr. Wolfgang Amann   | Löwengasse 47, A-1030 Vienna, Austria; phone + 43 1 712 62 51, email wolfgang.amann@fgw.at  |
| <b>Institute for Canton Planning, Sarajevo</b>   | Expert Associate for Executive Documentation  | Natasa Pelja         | Branilaca Sarajeva 26, 71000 Sarajevo, BiH; phone +387 33 664 347, fax +387 33 209 543, email NP@zavodzpr-sa.ba                           |
| <b>Institute for Canton Planning, Sarajevo</b>   | Expert Associate for Executive Documentation  | Zinaida Hrustic      | Branilaca Sarajeva 26, 71000 Sarajevo, BiH; phone +387 33 664 347, fax +387 33 209 543, email NP@zavodzpr-sa.ba                           |
| <b>Municipality of Karpos</b>  | Mayor   | Andrej Petrov        | Partizanski Odredi 68, Skopje 1000, Republic of Macedonia. Phone +389 70262272, fax + 389 23062925, email gradonacalnik@karpos.gov.mk     |
| <b>Municipality of Niel / UN-HABITAT</b>   | Consultant  | Eric Vermeiren       | Noeverseweg 9, 2845 Niel, Belgium; phone +32 497 447203, fax +32 3 4511169, email eric.vermeiren@pandora.be                               |
| <b>Municipality of Tirana</b>  | Director of Legalization and Expropriation Department   | Rezarta Ismailaja    | Municipality of Tirana, Albania; phone +355 68 20 61 498, fax +355 4 22 84 30, email rismailaja@tirana.gov.al                             |
| <b>Open Society Institute, Local Government &amp; Public Service Reform Initiative</b>           | Director of Research  | George Guess         | Oktober 6 Str, H-1051 Budapest, Hungary; phone +361 327 3000 3910, fax +361 327 3105, email gguess@osieurope.org                          |
| <b>The Housing Fund of the Republic of Slovenia (Public Fund)</b>                                | Assistant of the Management Board   | Mojca Stritof-Brus   | Poljanska Cesta 31, 1000 Ljubljana, Slovenia; phone +386 1 47 10 502, fax +386 1 47 10 508, email Alenka.Ninkovic@stanovanjskisklad-rs.si |
| <b>Town Planning Institute of Belgrade</b>   | Head of Master Planning Department  | Miodrag Ferencak     | Palmoticeva Ul. 30, Belgrade; phone +381 11 333 15 02, fax +381 11 3331 550, email miodrag.ferencak@urbel.com                             |
| <b>UN-HABITAT</b>  | Chief Technical Advisor a.i., Governance and Development Planning Programme, UN-HABITAT Kosovo Office | Elisabeth Belpaire   | Nazim Gafurri Street 33, Proshatina, Kosovo; phone +381 38 517 574/476, GSM +377 44 333 892, fax +381 38 517 836, email belpaire@un.org   |
| <b>UN-HABITAT</b>  | Senior Urban Planning Advisor (Mostar Programme)  | Aleksander Stular    | Ulica Brace Fejica 34, 88000 Mostar, Bosnia-Herzegovina; phone +387 36 552 683, GSM +387 63 311 683, email stular@yahoo.com               |
| <b>UN-HABITAT</b>  | Gender & Civil Society Coordinator  | Krystyna Galezia     | Nazim Gafurri Street 33, Proshatina, Kosovo; phone +381 38 517 574 103, fax +381 38 517 836, email galezia@un.org                         |
| <b>University "SS. Cyril and Methodius", Skopje</b>  | Dean of Faculty of Architecture, Professor in Urban Planning and Design                               | Prof. Vlatko Korobar | Partizanski odredi 24, 1000 Skopje, Republic of Macedonia; phone +389 2 31 16 328 102, fax +389 2 31 16 367, email vvpk@ukim.edu.mk       |
| <b>University of Bucharest, School of Urban Planning / Open Society Institute (LGI) Budapest</b> | Vice Dean / Steering Committee member   | Liviu Ianasi         | 18, Doamna Ghica St, Apt. 50, Bucharest, Romania; phone +40 74 221 95 66, email liviugb@rdslink.ro  |
| <b>Urban Solutions / Bouwcentrum International</b>   | Director of Bouwcentrum International   | Alle Elbers          | Goudseweg 181, Postbus 1051, 2410 Bodegraven, The Netherlands; phone +31 172 61 14 14, fax + 31 172 61 14 02, email elbers@prc.nl         |

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|------------------------|----------|-----------------|---|
| <b>Urban Solutions</b> | Director | Dick ter Steege | Schiekade 830 / P.O. Box 299,<br>Rotterdam 3000 AG, The<br>Netherlands; phone +31 10 265<br>2088, fax +31 10 243 0917, email<br>dick.tersteege@urban-solutions.nl |
|------------------------|----------|-----------------|---|

### Facilitators

| Organ/Instit                                       | Position/Job title                                  | Name              | Contact   |
|--|---|-------------------|---|
| <b>Urb Act</b>                                     | International Advisory<br>Services for Urban Action | Dr. Emiel Wegelin | Hoflaan 63, 3062 JC Rotterdam,<br>Netherlands; phone +31-10-<br>4134129, fax +31-10-4134816,<br>email UrbAct@cs.com                         |
| <b>Stability Pact for South<br/>Eastern Europe</b> | Human Settlement Issues                             | Bjoern Gabriel    | 1 Place du Luxembourg, 1050<br>Brussels, Belgium; phone +32 2<br>2861 364, fax +32 0 2861 390,<br>email<br>bjoern.gabriel@stabilitypact.org |