A global toolbox to support local governments and urban actors in small and intermediate cities to implement and customise inclusive urban planning processes

Third edition of Participatory Incremental Urban Planning (PIUP)
Our City Plans: An Incremental and Participatory Toolbox for Urban Planning

A global toolbox to support local governments and urban actors in small and intermediate cities to implement and customise inclusive urban planning processes

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An Incremental and Participatory Toolbox for Urban Planning

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### Phase 3: Operationalisation

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As demographic pressure keeps rising, small and intermediate cities tend to urbanise faster, facing additional challenges such as conflicts over land property, unplanned and unstructured territory, urban sprawl, insufficient infrastructure and basic services provision, and poor mobility network. To absorb the rapid increase in population, cities need to identify priorities and develop a city-wide strategic plan, to adequately address the urgent need for sustainable urban development.

Moreover, community engagement and participatory planning processes are often left behind, especially when time and resources are limited. Small and intermediate cities facing rapid expansion hold timely opportunities to set the basis for sustainable growth, which requires a holistic understanding of the context and its community, and integrated and inclusive planning processes.

The current pandemic crisis has put the world under an unprecedented economic, environmental, social, and political crisis. Local governments seek guidelines, as cities have become the epicentres of the covid-19 pandemic, with over 95% of total cases concentrated in urban areas. Existing issues such as the lack of access to clean water and sanitation and to adequate housing and public spaces have been amplified, especially for the most vulnerable groups.

Gathering and physical distancing restrictions also threaten the implementation of participatory and inclusive urban planning processes that include traditional in-person collaborative design workshops and validation sessions. The role of digital and innovative tools to engage communities has become crucial.

In this context, UN-Habitat has been developing innovative approaches and tools in the fields of planning, design, governance, policy and economy, centred on the active participation of the community. The goal is to support local governments in developing countries to deal with the challenges of rapid urbanisation and climate change, and to implement the Sustainable Development Goals and the New Urban Agenda. However, there is a need to integrate the agency’s knowledge, best practices and tools into one comprehensive guide.

Our City Plans offers a unique global framework to guide city leaders and urban planners to carry out integrated urban planning processes, from the assessment to the implementation phase.

Through a process framework rather than a design framework, and building on the vast experience of UN-Habitat in different countries, this incremental and flexible toolbox allows local governments to tailor the planning process to their own context, based on their priorities, available resources and capacities.

I hope that this publication will contribute to the vital work of city leaders, planners, and other urban planning stakeholders, serving as a consolidated guide to trigger collaboration and partnership for participatory urban planning, and promoting equal opportunities and a better urban future for all.
Our City Plans is a global toolbox that guides and supports local governments and urban actors to better understand, customise, and develop inclusive and integrated urban planning processes, using a participatory and incremental methodology that adapts to their needs and local context.

By guiding users through an adaptable step-by-step methodology, actionable instructions, and simple and approachable language, Our City Plans democratises and articulates a comprehensive planning framework developed and utilised by UN-Habitat.

Organised according to the assessment, plan, operationalisation, and implementation phases, it includes 14 thematic blocks and 54 activities, linking them to tools, templates and additional resources from UN-Habitat and external partners.

City leaders, planners and other planning stakeholders are able to customise their own journey and process based on their available resources, and map their progress and activity status. They can also reach out to access UN-Habitat’s support, guidance, training, expertise and resources.

Visit our digital platform!
https://ourcityplans.unhabitat.org/

Our City Plans digital platform aims to become a living product and a platform for knowledge exchange. Users are able to share their project experiences, tools, resources, local best practices, and connect with cities and teams. They will actively contribute to improve Our City Plans, link their experiences and local expertise, and provide feedback to keep improving the methodology and toolbox.
Background and context

Our City Plans has been developed by a multidisciplinary team inside UN-Habitat in a collaborative effort between different branches, sections and Regional Offices, steered by the Urban Practices Branch – Planning Finance and Economy Section and the Global Network of Urban Labs. The toolbox is the result of UN-Habitat’s work in over 100 participatory planning processes implemented in different global contexts since 2014 by UN-Habitat and partner organisations.

As demographic pressure keeps rising, small and intermediate cities tend to urbanise faster, facing additional challenges. These include conflicts over land property, unplanned and unstructured territory, urban sprawl, insufficient infrastructure and basic services provision, lack of climate action measures, poor mobility network, etc. To absorb the rapid increase in population, cities need to identify priorities and develop integrated and participatory planning processes, to adequately address the urgent need for sustainable urban development.

To develop urban plans successfully, planning processes need to be flexible, inclusive, and have the capacity to adapt to the specific context they are implemented in. These need to allow technical teams and city leaders to identify and prioritise cross-cutting areas, objectives, types of plans and activities that better adjust to their environment.

Our City Plans consolidates the most relevant planning tools, best practices and methodologies of UN-Habitat and partners for the development of strategic, city-wide and neighbourhood planning processes. It is a key resource for UN-Habitat, as it links a variety of tools from the agency and promotes integration of other tools from external partners. The methodology’s success and contribution to the field is reflected on its demand – it is the 3rd most downloaded publication of UN-Habitat.

The first version of Our City Plans was launched at WUF10 in February 2020, formerly called PIUP – Participatory Incremental Urban Planning toolbox. A second version was published in 2021. The dissemination of the toolbox and event kickstarted an Our City Plans global community that has continued to grow, and today has more than 1000 members.
How can Our City Plans help you?

City leaders

Lead and oversee the strategic steps of the urban planning process

- Align your city strategy to global agendas and international standards
- Provide a strategic overview of the whole planning process and the critical activities you should be involved in
- Have a clear understanding of the key deliverables (and the importance of citizens’ participation in urban planning processes)
- Access a global community of practice and connect with companies, organisations, private sector, investors and technical experts.

City planners

Technical development of the urban planning process and planning documents

- Guide the step-by-step implementation of a participatory and sustainable urban planning process that adapts to your needs and context.
- Align your planning process to meet the requirements of international standards and global agendas.
- Explore and deepen on the specific topics and urban issues that are important for your city
- Promote participatory processes and stakeholder engagement throughout the planning process.
- Be part of a global community of practice and share knowledge and experiences with cities around the world.

Other urban stakeholders

Provide accountability, disseminate and support inclusive urban planning processes

- Identify the critical steps that influence urban policies, programmes, plans and projects
- Understand how your city is planned and how it should involve various stakeholders
- Identify activities and tools that support planning processes in your city
A customisable and adaptable urban planning process

The process

The Our City Plans guides users through the crucial steps needed to develop an inclusive and sustainable urban planning process. It is modularly structured into 4 phases — Assessment, Plan, Operationalisation and Implementation —, 14 blocks, and 54 activities.

**Phase 1. Assessment**
This phase aims to understand and assess the context and the territory in which the plan will be developed, including the current planning and legal frameworks, the available resources, and the plan and process objectives. A tailored participatory process is then established, supported by a strong stakeholder engagement. Finally, an analysis and diagnostic are elaborated to understand the territory, its opportunities and challenges, that will be integrated into the plan.

**Phase 2. Plan**
The objective of the second phase is to develop a common vision, a set of strategies and strategic projects that provide spatial and technical support to the future planning of the city. This phase includes three levels of spatial plans: the strategic development plan, the land management plan, and the neighbourhood plan, which can be developed independently or together. The plans are the result of multiple consultations between the technical team, the local government, the key stakeholders and the community. They address the challenges identified during the analysis and diagnostic block and provide solutions at different levels of detail.

**Phase 3. Operationalisation**
The objective of the third phase is to set a series of actions and enable mechanisms to facilitate the plan implementation. Land, financial, institutional and legal aspects of the plan are reviewed in depth to define a clear and effective policy framework for the plan implementation.

**Phase 4. Implementation**
Once the urban plan is adopted as a legally binded document, the Implementation phase aims to put in place all the mechanisms needed to execute the strategic actions and projects of the plan, as well as guide the future urban development.

Currently, this publication provides detailed information for all activities in Phase 1. Assessment and Phase 2. Plan. For now, activities for Phase 3. Operationalisation and Phase 4. Implementation, include the objectives and results, and detailed steps are under ongoing development.
Customising urban planning processes

The toolbox recognises the importance of defining a process framework rather than a design framework in urban planning. It is incremental and flexible, as it allows planners, city leaders, and other stakeholders to tailor their planning process according to their context. They can choose whether to run the entire process or focus only on specific outputs, depending on their scope, resources and priorities. Additionally, as blocks and activities are modular, they can be selected and saved according to the local conditions and available resources, creating simplified or more comprehensive paths. Various activities can be conducted independently or simultaneously with others, depending on the expertise of the technical team and the availability of time and resources.

The customised planning process is supported by an assessment Questionnaire integrated into the digital platform, and followed by a Self-Assessment Workshop, in which the technical team and the political representatives identify the objectives, key outputs, and activities to conduct. Additionally, several cross-cutting components are embedded in the toolbox:

- **Stakeholder participation:** Include diverse stakeholders, sectors, and perspectives to improve and make more inclusive the urban planning process and results.

- **Climate action:** Incorporate an approach to combat climate change and its impacts, integrate adaptation measures into urban planning processes, and strengthen the adaptive capacity to climate-related hazards.

- **Spatial inclusion:** Reduce spatial inequalities by promoting the even distribution of basic urban services, quality public spaces, affordable housing, and livelihood opportunities.

- **Alignment to international agendas:** Consider global documents and agendas in sustainable urban development as references throughout the urban planning process.

- **Urban finance:** Consider financing components and mechanisms throughout the urban planning process, to strengthen municipal finances and promote the successful implementation of plans.

Our City Plans toolbox provides guidelines to develop and implement urban plans with different levels of details, scales and scopes:

- **Strategic Development Plan:** Develop a city-wide plan by defining a participatory future vision, goals, and targets, spatial development strategies, and strategic projects.

- **Land Management Plan:** Develop a regulatory spatial document that translates the spatial strategies into a detailed land use and management plan. It is also called comprehensive development plan.

- **Sectoral Plan:** Thematic plans that focus on specific components of the overall city land development, such as mobility infrastructure, water and sewage management, natural resources protection, informal settlements regeneration, etc.

- **Neighbourhood Plan:** Develop a plan for a specific neighbourhood or area of the city.
This edition includes all activities of Phase 1 (Assessment) and Phase 2 (Plan) fully developed. Activities of Phase 3 (Operationalisation) and Phase 4 (Implementation) are indicated but their content is currently under development.

Toolbox Composition

- **Phases.**
  - this methodology describes the urban planning process with four main phases: assessment, plan, operationalisation and implementation.
  - Each phase is divided into thematic Blocks.

- **Activities.**
  - Blocks are broken down into different activities to facilitate the adoption of participatory, inclusive and sustainable practices.

- **Blocks.**
  - Each block focuses on a specific topic of the planning process and has a clear outcome (participatory strategy, Terms of References, plans, etc.). Each block is divided into activities.
Activity number.
Each activity has a number. This numeration is continued throughout the blocks and 4 phases, to facilitate the use of Toolbox.

Objective and results.
At the beginning of each activity, the objective and the results of the activity are described, highlighting specific outputs.

Description.
The description guides the users and provides key concepts.

Steps.
A list of simple steps to follow linking with specific tools, facilitates the activity execution.

Tools.
Tools: User-friendly tools are included in pdf at the end of the publication, as well as the links to the online versions so teams can download and edit them according to their needs. Not all the tools are mandatory and some tools support various activities. The technical team can select which are the most adequate tools to use, considering the level of complexity and their capacities.

Participation.
It indicates if the activity is participatory and requires stakeholders’ engagement. These can range from technical or expert consultations, activities that involve the advisory, steering and/or other committees, community participation and public hearings, etc. Specifically, workshops are indicated with a coloured background, according to the Phase.

Time.
It indicates the approximate amount of time required to finalise the activity. However, this is just as estimation because the duration varies according to the available resources, team capacities, adjusted objectives, etc.

Objective
Gather existing data of the city and generate spatial base maps needed to support the analysis and the plan development.

Results
Repository of existing data (literature review, existing surveys, etc.): Maps, diagrams and data visualisations

Tools
Desk and Field Research - Maps and Data Checklist

Description
In the desk research activity spatial, qualitative and quantitative data is collected regarding the current conditions of the city. While the contextualisation block provides a general understanding of the context and the existing planning documents, this activity aims to gather and compile more detailed data required to analyse the city. Information at national and regional level should also be collected and analysed to understand the wider context the city is inserted in and how the various aspects and existing conditions of the surrounding area impacts the development and functioning of the city.

This activity considers information of different scales (national, regional and local/ city level) related to planning frameworks and processes, governance and administrative boundaries, the natural environment and agriculture, demographic and social aspects, historical and current climate trends, the built environment, mobility and transportation, basic services provision, migration trends, etc.

Usually, some data is already available in the government and institutional websites, or in the municipality offices or a soft or hard copy. The technical team should consult all the available sources, including cartography gathered in the previous activities, open source websites, satellite images, historical pictures, climographs etc. UN-Habitat recommends using an open source Geographic Information System (GIS) software to adopt an evidence-based approach for urban development. Whenever some data is not available or outdated it is worth conducting the following field research activity to produce new data. The information is then digitised and consolidated in a single digital project. The data is then compiled into a series of spatial base maps and diagrams that describe the current conditions of the city regarding different topics.

Steps
1. Define the area of analysis and different scales of work.
2. Set up the initial broad analysis framework or topics of investigation.
3. Define the content list of the analysis.
4. Review existing cartography and plans gathered during the contextualisation block.
5. Collect data from municipal, sub-national or national offices, academic institutes and/or open source websites.
6. Organise the data according to the themes presented in the T14 Desk and Field Research - Maps and Data Checklist.
7. Consolildate and digitalise all the data into a single GIS database (T13 Desk and Field Research - Maps and Data Checklist)
8. Identify the missing data that should be purchased and/or gathered in the Field Research (Activity 13).
9. Compile different spatial base maps (T13 Desk and Field Research - Maps and Data Checklist)

References
GIS methodology (Saudi)
GIS Handbook for municipalities

Additional resources.
The Toolbox draws upon several linkages, with complementary manuals, guidelines, tools, publications and case studies, developed by UN-Habitat and external partners. Hence, every user is free to deepen on specific topics and challenges, following the lessons learned from the Agency.
ASSESSMENT
Before starting the planning process...

**International agendas and guidelines**

Before starting the planning process, it is important to take into consideration some of the global reference documents for sustainable urban development. They will guide planners and decision-makers to develop a plan which promotes compact, socially inclusive, safe, spatially integrated and connected cities and territories that foster sustainable urban development and resilience to climate change.

**2030 Agenda and the Sustainable Development Goals**

Link: [https://sustainabledevelopment.un.org/](https://sustainabledevelopment.un.org/)

The 2030 Agenda was adopted by the General Assembly of the United Nations in September of 2015 in New York. It provides a global blueprint for dignity, peace and prosperity for people and the planet, now and in the future. The Sustainable Development Goals (SGDs), which are an urgent call for action by all countries — developed and developing — in a global partnership, are at the centre of this Agenda. They recognize that ending poverty and other deprivations must go hand-in-hand with strategies that improve health and education, reduce inequality, make cities and communities sustainable and spur economic growth — all while tackling climate change and working to preserve our oceans and forests.

The Sustainable Development Goals are interconnected and based on the "Leave no one behind" principles. The 17 Sustainable Development Goals and 169 targets are integrated and indivisible, demonstrating the scale and ambition of this new global Agenda that balances the social, economic and environmental dimensions of sustainable development. Among them, SDG 11 is explicitly addressed to cities and human settlements.

**SDG 11: cities and human settlements inclusive, safe, resilient and sustainable**

Link: [https://sdgs.un.org/goals/goal11](https://sdgs.un.org/goals/goal11)

In order to achieve these goals, leaders and other actors must find sustainable solutions to major urban issues of social and economic development, housing, infrastructure and services, and environmental management. All the SDGs are crucial for urban development, and their targets and indicators (when relevant for the local context) should be part of the monitoring and evaluation framework of urban plans.

**The International Guidelines on Urban and Territorial Planning (IG-UTP)**

Link: [https://unhabitat.org/international-guidelines-on-urban-and-territorial-planning](https://unhabitat.org/international-guidelines-on-urban-and-territorial-planning)

The International Guidelines on Urban and Territorial Planning (IG-UTP) intend to constitute a global framework for improving policies, plans and designs for more compact, socially inclusive, better integrated and connected cities and territories that foster sustainable urban development and are resilient to climate change.

The main objective of IG-UTP is to promote key urban and territorial planning principles into the planning and design of cities and territories.
New Urban Agenda

Link: [https://unhabitat.org/the-new-urban-agenda-illustrated](https://unhabitat.org/the-new-urban-agenda-illustrated)

The New Urban Agenda (NUA) was established in October 2016, in the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) which was held in Quito, Ecuador. It provides a global framework for achieving sustainable urban development and its objective is to enhance the cities as a solution to the challenges that our world is facing today, based on three transformative commitments:

• Sustainable urban development for social inclusion and ending poverty
• Sustainable and inclusive urban prosperity and opportunities for all
• Environmentally sustainable and resilient urban development

The realisation of the transformative commitments requires effective implementation mechanisms, that enable policy frameworks at the national, subnational and local levels, integrated by participatory planning and management of urban spatial development and effective means of implementation, complemented by international cooperation as well as efforts in capacity development, including the sharing of best practices, policies and programmes among Governments at all levels.

The New Urban Agenda is now also available illustrated. The handbook supports urban stakeholders to understand and implement the NUA. It analyses the contents of the New Urban Agenda and the synergies with the Sustainable Development Goals and Targets, and enriches them with visual illustrations, examples from all over the world and practical propositions for action.

Why are SDGs important for Local Governments?

• Provide a shared narrative of sustainable development and help guide the public’s understanding of complex challenges.
• Provide an integral framework for sustainable development at local level.
• Integrate local challenges in a global framework.
• Represent a commitment of Local Governments with the global agenda, promoting their recognition and legitimacy as key actors of the global sustainable development system.
• Recognise Local Governments as key actors for sustainable development, and enable them to claim for better policy and development frameworks at the national level.
• Mobilise domestic and international financial resources for local sustainable development.
• Mobilise capacity building initiatives focusing on the reinforcement of Local Governments’ operative and institutional capacities.
• Reinforce statistical institutions specialised in collecting data at local and regional level.
• Represent a roadmap for decentralised cooperation.
UN-Habitat’s Five Principles for Sustainable Neighbourhood Planning

Link: https://unhabitat.org/a-new-strategy-of-sustainable-neighbourhood-planning-five-principles

Adequate space for streets and an efficient street network

This principle aims to achieve connectivity throughout the city and neighbourhood, not only addressing vehicles and public transport but also including adequate and safe infrastructure for non-motorized modes of transport, such as cycling and walking. The street network should occupy at least 30 per cent of the land and at least 18 km of street length per km².

Adequate density and compact city

This principle aims to prevent urban sprawl due to rapid population growth and urbanisation. Sustainable cities should aim at achieving higher densities, without reducing the amount of land reserved for public spaces. An adequate population density should be calculated according to the specific territory and context. Nonetheless, at least 15,000 people per km², 150 people/ha or 61 people/acre is recommended.

Mixed land use

This principle aims to have land uses and activities that are varied, compatible, and flexible enough to adapt over time in the same neighbourhood. This way, people can live, work and access different opportunities and services within a smaller range of area. A related concept is promoting the 15 minutes city, in which residents can access all the amenities they need within 15 minutes from their home by walking or biking. It is recommended that at least 40 percent of floor space should be allocated for economic use in any neighbourhood.

Social mix

This principle aims at achieving communities that have socio-economic diversity, in order to achieve social cohesion, integration, and interaction between different social classes. This can be achieved by having available a wide variety of types of housing, in different price ranges and tenures. It is recommended to have 20 to 50 percent of the residential floor area of low-cost housing; and each tenure type should be not more than 50 per cent of the total.

Limited land-use specialisation

This principle aims to limit single function blocks or neighbourhoods in order to promote mixed land-use and a vibrant and active neighbourhood. It is recommended that single function blocks should cover less than 10 percent of any neighbourhood.
ASSESSMENT
Where are we now?

This phase aims to understand the context and the current planning framework, in order to prepare the project and define the most suitable planning process. The internal and external resources available for the project are reviewed, along with the constraints of the local government in terms of time, budget, expertise, territorial ownership and stakeholder engagement. Based on the results, a tailored participatory incremental process is defined to ensure the achievement of the objectives with a sustainable, inclusive, and impact-oriented approach, supported by a strong stakeholder engagement. Finally, the assessment phase will enable the definition of the most suitable planning process.
The Contextualisation block aims to develop an evaluation of the current conditions and available resources that impact the urban planning process. Both internal and external resources are reviewed, including physical, human, information and financial components and mechanisms, as well as legal aspects, partnerships and key stakeholders. The output of this block is an urban planning process roadmap and work plan that identifies which activities of the Our City Plans should be conducted. The incremental nature of this methodology is due to the flexibility to adapt and be customised according to the available resources and local context. This preliminary block is conducted by the project lead and other potential members of the core technical team.

1. Human and Physical Resources Review
   - 1 week
   - 1 tool

2. Legal Resources Review
   - 2 tools
   - 1 week

3. Financial Resources Review
   - 2 tools
   - 1 week

4. Self-Assessment Workshop
   - 3 tools
   - 1 day
   - participatory
### Human and Physical Resources Review

#### Objective

Review the existing available resources to sustain the urban planning process in terms of human resources, data, equipment, expertise, stakeholders and partners, and identify critical gaps and potential support sources.

#### Results

- Cultural, historical and background research on the context
- Formation of a preliminary project team and identification of partners.
- List of available resources (data, physical, and human).

#### Tools

| T1 | List of Minimum Required Expertise and Partners |

#### Description

This activity allows the project promoter to identify the human resources available to form a preliminary project team, and further experts and organisations that will potentially support the project. This preliminary project team will be responsible for the next activities, including the elaboration of the Guiding Document and the formation of the Project Office.

Before starting any urban planning process, the preliminary technical team must define the local context in terms of culture, demographic trends, biophysical environment, and historical background. Secondly, it identifies existing maps and data as well as the availability, sources, and potential costs of acquiring missing relevant information (especially cartography and demographic data), equipment, and physical resources (office space, internet connection, computers, software licences, etc.) needed for the planning process.

Consult T1 List Minimum Required Expertise and Partners tool to understand what are the basic requirements to conduct a planning process adequately. If the resources are insufficient, they can be completed at a later stage depending on the available budget, by capacitating the internal team, hiring experts, buying any missing equipment, or asking external stakeholders for support. While identifying key partners and alliances for this initial stage, political support must be ensured. The preliminary project team should involve political champions and key representatives of the public sector.

#### Steps

1. Identify key experts, both internal and external, to involve in the planning process.
2. Identify key political champions and decision-makers representatives to involve in the planning process.
3. Form a preliminary technical project team.
4. Do a preliminary research on the demographic trends, biophysical environment, cultural and historical background of the local context.
5. List and evaluate the availability, reliability, quality and relevance of data (consult Block D Analysis and Diagnosis for reference).
6. List and evaluate the availability of equipment and physical resources.
7. Define any missing resources that should be addressed in the project document elaboration and the resource mobilisation activities.
Objective
Understand the legal planning framework at the national, sub-national and local level, the legal requirements for the plan approval, and review existing planning documents.

Results
- Legal planning framework and institutional structure of the urban planning system

Tools
T2 Urban Legislation Assessment
T3 Matrix of References

Description
The technical team will examine the current urban legal framework and the institutional structure of the urban planning system. After that, they will review the existing planning documents and the minimum requirements to develop a plan to ensure alignment between the international, national, regional and local agenda. This step is crucial, as Our City Plans approach does not substitute any local planning system. Instead, it supports and integrates UN-Habitat’s recommendations into the existing local framework, ensuring inclusive, strategic, and cost-effective processes.

Steps
1. Make a scheme of the institutional structure of the national, regional, and local planning system (T2 Urban Legislation Assessment).
2. Review all the existing planning instruments and documents at national, regional and local scales.
3. Analyse the cataster or any existing documents related to land ownership and management.
4. Review some of the international urban planning frameworks and compile T3 Matrix of References.
5. If possible, complete the Planning Law Assessment Framework.
6. If possible, assess the current city Plan with the City-scale Plan Assessment Tool.

References
- Planning Law Assessment Framework
- City-scale Plan Assessment Tool
- Economic Foundations for Sustainable Urbanisation: A Study on Three-Pronged Approach
- Social Tenure Domain Model: https://stdm.gltn.net/
- City Prosperity Initiative
- Rapid Financial Assessment for Planned City Extension (PCE)
- 2030 Agenda and the Sustainable Development Goals
- New Urban Agenda Illustrated
- New Urban Agenda
- The International Guidelines on Urban and Territorial Planning (IG-UTP)

Climate Action
The legal framework is an important element to consider when seeking to advance climate action, specially to align national climate policy and regulatory frameworks with strategic climate plans and agreements such as the Nationally Determined Contributions and the Paris Agreement. For this, existing regional, national and local legal resources should be identified. Some may focus specifically on climate change (eg. climate change acts), while others may have a broader scope but include climate elements (eg. policies related to energy and water). This step will furtherly help to determine which actions at local level might best contribute to local and national climate goals, particularly those that are incorporated into legal documents related to climate mitigation and adaptation.

Additional resources
Law and Climate Change Toolkit
Objective
Assess the current financial situation, define the available budget to finance and fund the plan development and implementation, and identify any gaps and potential sources.

Review the potential mechanisms to finance and fund the plan, actions and projects, to map and understand the possibilities and be able to define them along the planning process.

Tools
- T4 Financial Assessment Guide
- T5 Financial Mechanisms Catalogue

Description
During this activity, the preliminary technical team analyses the financial health of the city to understand how robust the budget is in terms of revenue and expenditures, access to loans or credit markets, financial management of funds, etc. Once the available resources to conduct the planning process are defined, a first project budget is elaborated. Additionally, the team maps any gaps and challenges that could impact the projects implementation and plan long-term outcomes, and consider any financial sustainability mitigation measures.

The second part of this activity is a preliminary step towards identifying the most suitable financial mechanisms to finance and fund the implementation of the plan and projects. Although a more detailed and definitive financial assessment is only possible further along the planning process, it is important from the beginning of the process for the team and stakeholders to have a clear idea of the financial context the plan is being developed in.

The preliminary technical team starts by reviewing the provided catalogue of financial mechanisms. Although it is not a comprehensive list and the mechanisms change according to each city and country, the catalogue provides an overview of the most widely used, their definition, their considerations, and details on its periodicity.

Finally, the activity is completed by assessing which of the financial mechanisms can be applied and used in the context where the plan will be developed and implemented, according to the local legal and financial frameworks. The tool provides considerations that should be made for each financial mechanism, and guiding questions to reflect and assess which ones can potentially be considered for the specific context. Additional mechanisms can also be added to the tool.

Steps
1. Assess the availability of financial resources (T4 Financial Assessment Guide).
2. Define a preliminary project budget for the planning process.
3. Map any potential gaps and challenges in financing and funding the planning process and plan and project implementation, as well as possible mitigation measures.
4. Research about the current administrative and institutional context in regards to land and property taxation and access to external sources of financing (loans, subsidies, etc.).
6. Assess what financial mechanisms can potentially be used and implemented in the plan.
7. Define the specific requirements and actions needed to implement the financial mechanisms selected.
8. Follow-up with these steps and actions along the planning process.
References
- Land property tax (2011)
- Innovative Land and Property Taxation (2011)
- Leveraging Land: Land-based Finance for Local Governments - A Reader (2016)
- Financing Sustainable Urban Development (2021)
- Guía Metodológica para la operacionalización de proyectos urbanos (2018)
- Climate Finance Reports and Tools
04 WORKSHOP

Self-Assessment Workshop

Objective
In a participatory session, define the activities and work plan for the urban planning process, according to the context, objectives, and available physical, human, and financial resources.

Results
- Preliminary project work plan

Tools
- T6 Self-Assessment Template
- T7 Workshop Checklist
- T8 Work Plan Template

Description
The self-assessment workshop is a collaborative session to create alignment between stakeholders and define the roadmap of the urban planning process, according to the planning objectives and the capacities of the local government and the potential partners and stakeholders. Specifically, it aims to assess the project constraints such as time, budget, internal capacities, stakeholder engagement, and territorial ownership, and to select the activities of the Our City Plans methodology that will be conducted.

The Questionnaire included in this digital platform has been created to guide and define the planning objectives, focus areas, and priorities of the urban planning process, and thus serves as a tool to support an initial moment of this activity. Additionally, the Self-Assessment Guide tool aims to support a further discussion to align all the stakeholders’ ambitions for the urban planning process.

The session is divided into three main moments. Firstly, the group defines the context of the urban planning process, including the project’s objective, key challenges and opportunity, urban area of interest, and crucial partners and stakeholders that should be involved along the process. Secondly, participants review the Questionnaire results and all the phases, blocks, and activities in the toolbox. Finally, they evaluate and discuss the available resources, in terms of time, budget, internal capacities, territorial jurisdiction, and stakeholder engagement, and select the final activities and tools to prepare a preliminary work plan.

Participants
This activity should be conducted by the preliminary project team and other key stakeholders such as the planning process sponsors, political leaders and municipal officials. Particularly, it is important to include decision-making representatives, political champions, potential investors or donors, stakeholders with high levels of power and affinity to the project, and potential opponents of the project.

Steps
1. Review and follow the workshop guidelines in the Workshop Preparation Checklist (T6).
2. Fill the Self-Assessment Template collaboratively (T5).
3. Before concluding the session, validate the results with the participants.
4. After the session, compile a workshop report (T6).

References
- Urban Planning for City Leaders
- SDG Project Assessment Tool
Agenda:
An agenda of the workshop should be presented by the team leader and made available for all participants to understand the development of the session. The time, length of each exercise and content adjustable to the cultural context and the availability of the participants.

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
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<tbody>
<tr>
<td>08.00</td>
<td>Registration and breakfast</td>
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<tr>
<td>08.30</td>
<td>Opening by the Mayor or the project manager followed by a presentation of each participant</td>
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<tr>
<td>09.00</td>
<td>Plenary Session 1: Context of the urban planning process</td>
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<td>09.45</td>
<td>Open discussion</td>
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<tr>
<td>10.00</td>
<td>Coffee break</td>
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<td>10.15</td>
<td>Plenary Session 2: Questionnaire</td>
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<tr>
<td>11.00</td>
<td>Open discussion</td>
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<tr>
<td>11.15</td>
<td>Plenary Session 3: Assessing table</td>
</tr>
<tr>
<td>12.00</td>
<td>Open discussion</td>
</tr>
<tr>
<td>16.00</td>
<td>Closing remarks</td>
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</tbody>
</table>
The Project Preparation block aims to define the objectives of the urban planning process and the responsibilities of each stakeholder. Specifically, the project team elaborates a guiding document that establishes the terms of collaboration with the different partners of the project and institutionalises the roles of the stakeholders involved. The Project Preparation block consolidates the agreements and discussions of the previous activities. Finally, the guiding document indicates if further resources and personnel are needed to establish the project office and start the project.

5. Guiding Document
   - participatory
   - 2 weeks
   - 2 tools

6. Environmental and Social Development Impact Plan (DIP) for the Planning Process
   - 3 days
   - 1 tool

7. Resource Mobilisation and Project Office
   - 1-2 weeks
05 ACTIVITY

Guiding Document

Objective
Define the objective and scope for the planning process, the responsibilities of the project team and partners, the expected deliverables, the work plan and the project’s budget.

Results
- Project guiding document (Terms of Reference)

Tools
- T9 Guiding Document Template.
- T10 Environmental and Social Screening Report Template.

Description
A guiding document describing the main objective and the expected accomplishments of the planning process is developed based on the outputs of Block A Contextualisation. This document is also called Terms of Reference (ToR). It may have different components and levels of detail depending on the expectations of the partners and the local government, and the capacities of the project team. It can include the project justification, the context and background, the project’s objective, the team members’ expertise and responsibilities, the deliverables, the intended participation strategy, the planning process activities, the work plan, and the budget. Further information can be incorporated as annexes.

The guiding document represents the contract agreement with the stakeholders. To develop the document, the content is first discussed in a series of meetings with the local government and other key potential stakeholders. As a last step, the team will assess the project risks using the T10 Environmental and Social Screening Report Template for the urban planning process, to be annexed to the guiding document. Then, the preliminary technical team consolidates a first draft that is shared with the local government for their revision and feedback. Once the document is refined and validated, all the parties involved in the planning process sign the contract.

Steps
1. Review the outputs of Block A Contextualisation, particularly the legal framework, the available budget and the preliminary work plan.
2. Organise a brainstorming and discussion session with the local government and, if needed, with key potential partners and stakeholders.
4. Fill T10 Environmental and Social Screening Report Template for the planning process and annex to the Guiding Document.
5. Share it with the local government to gather their feedback and comments.
6. Revise the document and incorporate any changes.
7. Validate the final document and have it signed by all the parties.

References
- SDG Project Assessment tool
- Urban Planning for City Leaders
**Objective**
Understand the legal planning framework at the national, sub-national and local level, the legal requirements for the plan approval, and review existing planning documents.

**Results**
- Legal planning framework and institutional structure of the urban planning system

**Tools**
- Environmental and Social Development Impact Plan (DIP) Template

**Description**
The Development Impact Plan (DIP) is part of the UN-Habitat’s Environmental and Social Safeguard System (ESSS), aligned with the safeguard system used by many international organisations, foundations, and donors. The ESSS includes a series of activities to ensure that a robust risk and impact assessment, management and monitoring process is implemented throughout the lifecycle of different projects, including design projects and territorial plans. This safeguard system is aimed at predicting and anticipating any adverse effects that projects could have on the environment and the people both during its development and during its implementation in such a way that measures can be identified to address the effects in a timely and adequate way.

According to the results of the Screening Report, the DIP is recommended for projects of low or no risk – these are non-operational projects such as “urban planning processes”. Typically, the urban planning activities do not entail physical/infrastructure interventions, however the activities as field mission, consultations, and data gathering may lead to environmental and social impacts or risks that need to be considered. Therefore, the preparation of a DIP is prescribed to assess possible future impacts/risks and to lay the groundwork for monitoring. Other specifications for E&S tasks may include E&S monitoring, management plans or the execution of a new screening assessment for the follow-up project.

**Steps**
1. Review the Guiding Document (Activity 5) and T10 Environmental and Social Screening Report Template.
2. Fill T11 Environmental and Social Development Impact Plan (DIP) Template for the city planning process with the minimal content.
3. a) Activities to be undertaken in the urban planning process of your city/neighbourhood, b) Risk of each activity, c) Timeline of the activities, d) Means of monitoring
4. If necessary, review and adjust the work plan and budget in the Guiding Document (Activity 5).
5. Share the finalised DIP of the Planning Process with the municipality’s sector responsible for the City Plan to review and approve.

**References**
- UN-Habitat Environmental and Social Safeguard System (ESSS) 3.0

Objective

Mobilise the financial, human, and physical resources needed for the planning process, considering what is established in the Guiding Document.

Results

- Staff recruitment plan
- Resource mobilisation plan
- Organigramme of the project office

Description

A financial strategy is crucial to develop an efficient and inclusive the urban planning process. Funding options could include federal funds, annual budgets, external financing, private sector contributions, donor grants, or a combination of these. When capital is not available upfront, cities may employ strategies such as value capture, bonds, loans, possibly Public-private partnerships (PPP), etc.

A list of missing resources is drafted based on the available resources assessment and the guiding document, and further action to mobilise them is initiated. This relates to any financial and human resources, as well as to physical resources, such as working spaces, information, materials, and equipment.

Financial contributions and services agreed between parties are mobilised to kickstart the process. If needed, further support from funds and contributions can be explored, by looking for available services, international calls, fundraising, and private investments from other partners or NGOs. Open positions with clear Terms of References should be published in the local government’s web-site and personnel should be hired with equal and meritocratic procedures, ensuring the diversity of the project team members. Finally, any required equipment such as computers and softwares covered by the available budget should be procured.

Once financial, human and physical resources are mobilised, a project office is established. A clear organigramme with different roles and sub-teams is defined, considering expertise areas, responsibilities, and expected accomplishments. The project leader and the sub-team focal points are appointed considering their leadership capacity, years of experience, expertise and communication skills.

Steps

1. Map funding opportunities and mobilise financial resources agreed with the partners.
2. If needed, find additional sources of financial support, and prepare a brief summary of the guiding document to share with them.
3. Publish the public positions, with clear Terms of References, to hire the missing staff.
4. Mobilise resources such as equipment, data, technical assistance, training, etc.
5. Establish a project office, possibly based in the municipality compound.
6. Appoint a project leader.
7. Develop an organigramme with clear roles for each team member.

References

- The Challenge of Local Government Financing in Developing Countries.

1. Public-private partnerships (PPPs) are a mechanism for government to procure and implement public infrastructure and/or services using the resources and expertise of the private sector. Where governments are facing ageing or lack of infrastructure and require more efficient services, a partnership with the private sector can help foster new solutions and bring finance (WB: https://ppp.worldbank.org/public-private-partnership/about-us/about-public-private-partnerships).
Participatory Mapping, Bolama, Guinea Bissau, UN-Habitat
Setting-up an inclusive participation framework is the core of the Our City Plans Toolbox. This block aims to define the stakeholders involved, the institutional mechanisms and committees, establish the participatory process and activities regarding technical consultations and community participation, and set a communication strategy for the urban planning process to be successful.

Creating the structures and conditions for participatory planning processes promotes transparency and enables the involvement of diverse stakeholders in shaping the city, neighbourhoods and communities. It also contributes to strengthen democracy and supports the fulfilment of SGD 16: Peace, Justice, and Strong Institutions.

Moreover, participation reduces conflicts between the local government and stakeholders with different interests, strengthens public-private partnerships, facilitates the public approval of the plan, and promotes active and empowered citizenship and knowledge exchange. However, there are different levels of participation: informing, consulting, validating, collaborating, co-creating, and decision-making. Our City Plans aims to include all levels and to work collaboratively between government, civil society, private sector, and academia, to set common goals and priorities and develop a plan that responds to community needs.

### Block: Participation Set-up

8. **Participation and Committees Formation**
   - 1 week
   - 1 tool

9. **Participation Plan**
   - 1 week
   - 1 tool

10. **Communication Strategy**
    - 1 week

11. **Public Launch of the Project**
    - participatory
    - 1 day
    - 1 tool
Identify key stakeholders and define a participatory strategy, including the different roles and engagement mechanisms.

- Stakeholder list
- Engagement strategy
- Committees formation

Based on the human resources list identified in the Human and Physical Resources Review (Activity 1), the T12 Stakeholders’ Mapping tool helps identify potential partners and stakeholders, how to involve them, and at what stage. This tool provides a graphic representation of the social structure around the project, considering the level of power and affinity of each individual or organisation. There are various methods to engage with different stakeholders (interviews, focus group discussions, workshops, digital surveys, etc.), and it is important to select the most appropriate one for each. For instance, a person with a high level of power and affinity or one with a low affinity might be challenging to engage during a collaborative discussion, and it may be more effective to interview her/him individually. In contrast, a workshop may be ideal to involve community members and public technical representatives.

Moreover, to guide the planning process and ensure participation from all sectors, two types of committees are formed: the steering and the advisory committee. Both are composed of representatives of different sectors such as public, private, civil society, academia, etc. but have different roles. The Steering Committee is involved in the decision-making and validation processes. It is composed of stakeholders with a high level of power and affinity to the project, such as representatives from the local government, financial partners (if any), private sector, civil society and community, and vulnerable groups. The Advisory Committee provides technical expertise and empirical knowledge to ensure that the plan responds to different perspectives and needs. It is composed by a heterogeneous group of experts such as members of the government, private sector, academia, NGOs, vulnerable groups and international organisations. While the steering committee has the decisional power and approves the various steps of the planning process, the advisory committee is substantially involved during the technical activities and workshops and supports the plan development. The election of the steering committee and the advisory committee is based on the stakeholder mapping exercise and through the consultation of key stakeholders and the final validation of the community. Community representation and community champions must be integrated in the steering and advisory committee to ensure effective empowerment of the civil society.

Once it is clear who the key stakeholders are and how to involve them, the project work plan is reviewed to integrate any activities that will increase participation and therefore improve the planning process. The level of participation of each activity is also defined: whether it is internal (involving only the project team), participatory (including the project team and/or the advisory committee) or public (open to the entire community).

Additionally to the committees, other stakeholder groups can be created as governance and accountability mechanisms. Paragraphs 41 and 92 of the New Urban Agenda (NUA) indicate the creation of platforms and mechanisms for a wide meaningful participation at all stages of the urban decision making processes. At the global level, World Urban Forum (WUF) is a non-legislative technical forum convened every second year by UN-Habitat since 2002 and has strengthened its linkage with the New Urban Agenda and 2030 Agenda. Adding on to their national focus and scope, the National Urban Forums can be formed to seek their connection to the World Urban Forum as a UN global platform linked to the NUA and other international agendas’ implementation, facilitating and coordinating country activities related to sustainable urban development.
National Urban Forums can be organised around a specific central theme, identified as crucial to country’s reality or fostering urban policies and plans formulation. Depending on the level of participation of each activity, specific technical consultations can be held through National or Local Urban Forums.

**Steps**

1. Run a stakeholder mapping exercise (T12 Stakeholders’ Mapping).
2. Define the stakeholders’ engagement strategies and mechanisms, including integration of gender equality and women’s and youth’s empowerment.
3. Define the members of the steering and advisory committee and extend a formal invitation letter.
4. Review the work plan and define the level of participation of each activity (internal, participatory, and public).
5. Schedule review meetings with the steering committee and technical consultations with the advisory committee.

**References**

- Her City Toolbox
- Governance Assessment Framework for Metropolitan territorial and regional management
- Consul Project
- National Urban Forum Guidelines

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Stakeholder engagement in Canaan Haiti, UN-Habitat
Develop a participation plan, including specific activities, participants involved, and outreach methods.

Based on the T12 Stakeholders’ Mapping and the engagement and participation strategies previously defined in the Participation and Committees Formation (Activity 8), an actionable plan is developed to execute and guide the participatory process. In general, the characteristics, skills and abilities of the stakeholders and other participants, the socio-political climate, and the technical and logistical capabilities of the technical team should be considered to define the most appropriate plan to obtain substantial and relevant inputs for the planning process. This plan should be comprehensive and include the activities associated with committees, technical experts, communities, and the general public. The participation plan consists of three sections: implementation plan, outreach plan, and risks and mitigation strategy.

The implementation plan helps to map and define how, when and where participatory processes will take place, through the technical definition of the different activities (objective, participants, engagement method, support materials, etc.) and the logistics (location, time, etc.) for each. This will allow for a correct execution of the different activities as well as its alignment with the general work plan, which will facilitate the incorporation of the inputs obtained to the planning process and technical documents.

Once the activities are clearly defined, it is important to convene and inform the stakeholders and the general public about the participatory activities relevant to them. The outreach section of the plan should respond to the characteristics and abilities of the population, presenting the information in a way that is accessible to all people, with particular attention to groups in vulnerable conditions and through the appropriate communication channels for the context. This outreach plan will be integrated into the Communication Strategy (Activity 10).

To ensure the participation of all population groups and stakeholders, especially those in vulnerable conditions, it is important to identify the risks of the participatory process, associated with the participants’ characteristics and the context in which the urban planning process takes place. These might include, among others, digital gap, accessibility issues, lack of interest, and distrust. Once these are identified, mitigation strategies should be put in place to ensure an inclusive, substantial, and harmonious participatory process that reflects and responds to the different perspectives present.

1. Review the stakeholder’s mapping exercise and the engagement strategies defined in Participation and Committees Formation (Activity 8) to define and prioritise the participatory moments and activities.
2. Using the T13 Participation Plan Guide tool, define the logistics and technical inputs necessary for each activity and consolidate this in the implementation section.
3. Align the activities with the overall work plan and adjust accordingly (T8 Work Plan Template).
4. Develop the outreach plan section.
5. Parallel to the previous two steps, analyse the risks present in the participation process and define mitigation strategies for both the implementation and outreach plans.
6. Execute the plan and review it constantly considering the challenges and learnings obtained during the process.
References

- Community participation in public space and urban design projects during the COVID-19 pandemic: Experiences and reflections from Iberoamerica and the Caribbean.

Participatory Mapping, Belmopan, Belize, UN-Habitat
10
Activity
Communication Strategy

Objective
Set a communication strategy to invite to participatory activities, share and validate the ongoing progress of the plan development, and establish a communication channel to solve any public concern.

Results
- Communication strategy

Description
In addition to the steering and advisory committee, the broader public must also be informed and consulted during the urban planning process. In alignment to the Participation Plan (Activity 9), the plan development, activities, and process is continuously communicated to the general public using different platforms and tools, such as organising digital forums, questionnaires or public hearings. This communication is initiated by the project team.

For an adequate communication strategy it is crucial to have a clear understanding of the following: target audience, goals, channels, tone and level of information. The target audience usually represents the general population. However, depending on the context and the objective of the local government, other target groups that require specific communication strategies and methods may emerge, especially reaching vulnerable groups may require special means of communication. The main goal of the communication strategy is to inform the general public about the planning process and validate any important steps. Additional goals and objectives that may be specific to the context (e.g. empower women and youth in decision-making processes, increase awareness of environmental topics, etc.) can be included. The main channels for communication are the municipality web-site, social media, journals and newspapers, physical posters, digital forums, and events. If the municipality lacks the budget to elaborate and maintain a communication strategy, it would be ideal to seek non-financial collaborations with third parties instead of avoiding it. Qualitative communication is a key component to embrace participation.

Finally, the tone and the level of information are also important to ensure an effective communication strategy. The language and tone of voice are framed considering the target audience. Highly technical words may discourage engagement in the discussion, and not enough information might create confusion and frustrations. It is worth creating a variety of articles and posts addressing specific groups instead of a unified approach that may be too generic and not catchy.

Steps
1. Define the target audience, goals, channels, tone and level of information, according to the defined activities and milestones in the Participation Plan (Activity 9) and work plan (T8 Work Plan Template).
2. Designate a communication officer or communication focal point, responsible for implementing the communication strategies.
3. Define the media to be used. This might include creating a digital platform or social media page.
4. Define a calendar of virtual, hybrid or in-person activities to share invitations, updates or validate steps of the process, in alignment to the urban planning process work plan.
5. Follow up and continuously revise the communication strategies based on the planning process outputs.
Public Launch of the Planning Process

Objective
Communicate the start of the urban planning process to the entire community, inviting the public to engage and participate actively. It aims to share with the civil society the intention of the project team and the local government.

Results
- Project launch

Tools
T7 Workshop Checklist

Description
The launching session is the first main event of the communication strategy. The team presents the main objective of the urban planning process, the expected outcomes, the work plan and the next steps of engagement. The steering committee, the advisory committee, and the project team are also introduced to the public. The public launch may be an opportunity to engage with other stakeholders and mobilise any missing human or financial resources useful for the project.

Once the project is presented, an open discussion could be facilitated to gather ideas and concerns from the public. This can result in including additional stakeholders in the committees or mapping new participatory activities. The comments and suggestions of the public must be taken into consideration especially if they raise any potential challenge or opportunity for the project. This shows the intention of developing an inclusive planning process that starts from the community’s needs.

Steps
1. Schedule the session and book a location adequate to host the entire community (T7 Workshop Checklist).
2. Communicate the event in advance and through different channels and media, established in the Communication Strategy (Activity 10).
3. Prepare a brief presentation to introduce the project using clear and simple language.
4. Register the participants to create a mailing list for future communications.
5. Appoint a person to present the project and facilitate the session (involve the steering and advisory committee).
6. Facilitate the questions and interventions, stimulating dialogue.
7. Take notes of key points of discussion and capture pictures of the ongoing session, for reporting purposes.
8. Before closing the session, remind participants of the following appointments and share the official communication channels.
In the Analysis and Diagnosis block, key evidence and information is collected to guide the stakeholders’ decisions throughout the urban planning process. The diagnostic aims to understand the project’s context, challenges, and opportunities. The urban and territorial diagnosis focuses on developing a ‘spatial profile’ at different geographic scales. This profile depicts a shared understanding of the territorial challenges and opportunities found in the defined planning area.

The analysis can be carried out using different tools. These include the strengths, weaknesses, opportunities and challenges analysis (SWOT), surveys, and spatial analysis and mapping (using existing or new data) — often aggregated in a Geographic Information System (GIS).

This block also focuses on the participatory process, proposing various activities to engage with the local population and diverse stakeholders, such as academia, along the planning process. As communities have great knowledge of their surroundings, their participation is crucial to collect data and to identify the city’s main issues and the opportunities for future development.

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<tr>
<td>Desk Research</td>
<td>Field Research</td>
<td>Analysis</td>
<td>Analysis validation and Diagnostic Workshop</td>
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<td>1 week</td>
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<td><strong>16.</strong></td>
<td>Diagnostic</td>
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<td>1 tool</td>
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Desk Research

Objective
Gather existing data of the city and generate spatial base maps needed to support the analysis and the plan development.

Results
- Repository of existing data (literature review, existing surveys, etc.)
- Maps, diagrams and data visualisations

Tools
T14 Desk and Field Research - Maps and Data Checklist
T15 Matrix of Functions (MoF)

Description
In the desk research activity spatial, qualitative and quantitative data is collected regarding the current conditions of the city. While the contextualisation block provides a general understanding of the context and the existing planning documents, this activity aims to gather and compile more detailed data required to analyse the city. Information at national and regional level should also be collected and analysed to understand the wider context the city is inserted in and how the various aspects and existing conditions of the surrounding area impacts the development and functioning of the city.

This activity considers information at different scales (national, regional and local/city level) related to planning frameworks and processes, governance and administrative boundaries, the natural environment and agriculture, demographic and social aspects, historical and current climate trends, the built environment, mobility and transportation, basic services provision, migration trends, etc.

Usually, some data is already available in the government and institutional websites, or in the municipality offices as a soft or hard copy. The technical team should consult all the available sources, including cartography gathered in the previous activities, open source shapefiles, satellite images, historical pictures, climographs etc. UN-Habitat recommends using an open source Geographic Information System (GIS) software to adopt an evidence-based approach for urban development. Whenever some data is not available or outdated, it is worth conducting the following field research activity to produce new data. The information is then digitised and consolidated in a single digital project. The data is then compiled into a series of spatial base maps and diagrams that describe the current conditions of the city regarding different topics.

Steps
1. Define the area of analysis and different scales of work.
2. Set up the initial broad analysis framework or topics of investigation.
3. Define the content list of the analysis.
4. Review existing cartography and plans gathered during the contextualisation block.
5. Collect data from municipal, sub-national or national offices, academic institutes and/or open source websites.
6. Organise the data according to the themes presented in the T14 Desk and Field Research - Maps and Data Checklist.
7. Consolidate and digitalise all the data into a single GIS database (T14 Desk and Field Research - Maps and Data Checklist).
8. Identify the missing data that should be purchased and/or gathered in the Field Research (Activity 13).
9. Compile different spatial base maps (T14 Desk and Field Research - Maps and Data Checklist).

References
- GIS methodology (Saudi)
- GIS Handbook for municipalities
Field Research

Objective
Collect and/or produce additional data needed for the analysis of the city.

Results
- New data produced through multiple activities (surveys, participatory mapping, field visit, etc.)
- Maps, diagrams and data visualisations

Tools
T14 Desk and Field Research - Maps and Data Checklist
T15 Matrix of Functions (MoF)
T16 Participatory Incremental Mapping (PIM)

Description
If there is limited information available, additional participatory or on-the-ground activities can be carried out to complement it. Field research is also a useful practice to validate data that has been previously collected or to gather more detailed information of a specific component or location. Data collection, especially on the field, should be aligned with the plan’s objective and focused on the specific area, scale and topics of interest. Furthermore, it should also consider thematic areas relevant to the specific context, such as coastal areas, presence of informal settlements, predisposition for tourism, vulnerability to climate change, etc.

There are different ways of conducting field research. In a reconnaissance survey, the technical team identifies on-the-ground features or elements that are relevant for the analysis and notes them down on a base map, using appropriate software, such as GPS tracking. Moreover, participatory activities with a group or a specific stakeholder, such as community mapping workshops, interviews, and household surveys, provide high quality information based on the empirical experience (e.g. the identification of climate risk hotspots by the community) and the technical knowledge of the residents and experts. This kind of exercise allows to build capacity and knowledge to the local stakeholders and officers at city level. Lastly, high-resolution satellite imagery can be bought, or drone imagery can be taken to increase the level of detail of the existing information.

Steps
1. Review the available data gathered during the desk research activity, identify key topics and/or areas to prioritise during the field research, and consolidate the list of data to be gathered in this activity.
2. Select the methods that will be used to conduct the field research.
3. Identify knowledge gaps at the local level and prepare training and capacity building activities to perform before the data collection.
4. If needed, identify a representative sample of the population or invite any relevant stakeholder from the advisory committee to conduct the activities.
5. Prepare all the materials required to carry out the T16 Participatory Incremental Mapping.
6. If relevant, develop T15 Matrix of Functions (MoF) to further understand the spatial structure and the land use.
7. Organise bilateral meetings with relevant stakeholders to collect official data and additional information.
8. Plan field visits in key areas and important locations in the city to gather more specific information.
9. During the field research, observe, listen, take notes, save locations, and do not jump to conclusions.
10. Compile the newly gathered data and combine it with the existing data into a series of base maps (T14 Desk and Field Research - Maps and Data Checklist).

References
- GIS Methodology
- GIS Handbook for municipalities
To assess the vulnerability to climate hazards in a specific settlement or community, one of the first activities to prepare is a Climate impact chain diagram, which will be done through a participatory approach. The Climate impact chain diagram will help visualise how climate hazards and impacts are interrelated. This tool helps to shift from local impact observation (e.g. “There are more power outages during the hot season”) to understand which weather-related hazard is at the root of the impact (e.g. longer periods of drought).

**Climate Action**

**Additional resources:**
- Planning for Climate Change
- Climate Proofing Toolkit
- CityRAP Tool City Resilience Action Planning Tool
Analysis

Objective
Using a variety of methods, interpret the data gathered to understand the city's current urban structure, and to identify its main features and relations with the territory and the surrounding settlements.

Tools
- T14 Desk and Field Research - Maps and Data Checklist
- T19 Urban Expansion Projections

Description
This activity comprises a comprehensive urban analysis at different scales (national, regional, local and city-wide), covering a variety of aspects related to environment, resilience, prosperity, social inclusion, etc. This activity focuses on investigating the causes of the challenges identified in previous activities, how they relate to each other and their impact on the population. The analysis should be aligned with the plan's objective and the specific context. A key aspect for the plan development is the calculation of the projected population growth and the amount of land needed. Current worldwide trends of urbanisation show that there is a strong pressure on cities in developing contexts. Therefore, any plan must consider the estimated demographic growth of the next 15 years and the required land to accommodate it.

Spatial analysis can be conducted with a variety of methods and tools, both digital and analogical, depending on the capacities of the technical team and the advisory committee. Analysis could be structured considering different sectors and thematic of the built environment, e.g. public space, mobility, housing, environment etc. Starting from the base maps developed in the previous activities, the analysis can combine and integrate different data gathered through desk and field research. A set of spatial analysis maps are then generated to support the diagnosis and to start identifying the city's main challenges and opportunities.

Steps
1. Review the data gathered and the base maps.
2. Define the key analysis to conduct, considering the available information, the objective of the plan, and the main preliminarily identified challenges in T14 Desk and Field Research - Maps and Data Checklist.
3. Identify knowledge gaps at the local level and prepare training and capacity building activities to perform before the analysis.
4. Calculate the population projection and the amount of land needed (T19 Urban Expansion Projections).
5. Analyse local vulnerability to climate change (T20 Climate Vulnerability Assessment)
6. If possible, invite some stakeholders from the advisory committee to support the analysis.
7. Work iteratively at different scales considering a variety of topics.
8. Compile the analysis into a series of spatial maps and write a brief description for each.
9. Consolidate all findings and maps in an analysis report.

References
- Catalogue of Graphic References
- GIS methodology (Saudi)
- Rapid Planning studio
- Rapid Planning Toolkit for Urban Expansion (The Prince’s Foundation)
- Settlement Profiling Tool
At this point, the collected data can also be used to analyse and map city-specific vulnerabilities, taking into account the exposure and sensitivity to environmental risks, as well as the adaptive capacity that can help avert potential impacts.

The exposure to climate hazards climate change should be considered using both existing and projected climate risks to identify the extent to which the expected population and different sectors will be affected. This can be done through a vulnerability analysis by initially responding to the following questions: How is the city exposed to climate change today and in the future? How sensitive are your city’s people, places and institutions to this exposure? Who is most vulnerable and least able to adapt? What sectors are most impacted?

**Tool**

T20 [Climate Vulnerability Assessment](#)

**Additional resources:**

- Planning for Climate Change
- Climate Change Vulnerability and Risk

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**Map of opportunities and challenges, Parque de la Equidad, Cancun, Mexico, UN–Habitat**
Analysis Validation and Diagnostic Workshop

1 day participatory

Objective

Validate the analysis developed by the technical team, identify the main challenges and opportunities of the city, and develop strategic development scenarios that will be considered in the development plan.

Results

- Validated spatial and statistical analysis maps
- S.W.O.T. analysis
- Strategic development scenarios
- Constraints and opportunities collaborative maps

Tools

T7 Workshop Checklist
T18 Analysis and Diagnostic - Maps and Data Checklist
T21 S.W.O.T. Analysis
T22 Strategic Development Scenarios Template

Description

The Analysis Validation and Diagnostic Workshop is a one full-day collaborative session. It aims to complement the analysis developed by the technical team, with on-the-ground knowledge and experience of the advisory committee. If needed, the session can extend to two days, depending on the complexity of the context, the time availability of participants, and the capacity of the technical team.

The maps and findings are presented and there is a facilitated discussion between the technical team and the advisory committee to identify any gaps or misleading interpretations of the data. The participants are asked to sketch and annotate on the spatial maps to provide their comments and input.

Following, the strengths, weaknesses, opportunities and threats (S.W.O.T.) analysis is conducted. This exercise focuses on identifying the main constraints and opportunities of the city, and results on a set of maps describing the current situation. The S.W.O.T. analysis can be conducted in a plenary and collaborative session or dividing the participants into smaller groups.

Finally, based on the S.W.O.T. participants create strategic development scenarios in a future-thinking exercise, in which current tendencies, optimistic, and pessimistic scenarios are defined. This participatory exercise closes the Assessment Phase with an idea of what the future could and should look like for the city, before defining the strategic vision in the next phase.

Participants

Technical team, advisory committee, any further relevant key stakeholders.

Steps

1. Invite the advisory committee and any further relevant stakeholders for the session.
2. Prepare a presentation with the spatial analysis maps and findings, the results of the vulnerability assessment (if one has been conducted), and print the maps.
3. Prepare any required material for the session (T7 Workshop Checklist).
4. Follow the guidelines and instructions on the T21 S.W.O.T. Analysis tool to conduct the activity.
5. Create Strategic Development Scenarios following the instructions of the tool (T22 Strategic Development Scenarios Template).
6. Before closing the session, share the next steps of the process with the participants.
7. After the session, review the analysis report, the spatial analysis maps and the vulnerability assessment (if applicable), and make changes according to the comments gathered during the session.
**Suggested agenda:**
An agenda of the workshop should be presented by the team leader and made available for all participants to understand the development of the session. Use the provided tools to adjust the agenda according to the time, length of each exercise and content, cultural context, and availability of participants.

<table>
<thead>
<tr>
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<td>Plenary Session 2: Assessing table</td>
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<td>11:00</td>
<td>Open discussion</td>
</tr>
<tr>
<td>11:15</td>
<td>Plenary Session 3: Workplan</td>
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<tr>
<td>12:00</td>
<td>Open discussion</td>
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<tr>
<td>16:00</td>
<td>Closing remarks</td>
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**PHASE 1: ASSESSMENT**

**BLOCK D: ANALYSIS AND DIAGNOSTIC**

**Participatory Mapping in Queretaro, Mexico, UN-Habitat**
Objective
Identify the city's key constraints, opportunities and spatial structure.

Results
- Constraints map
- Suitability map
- Spatial challenges/opportunity map
- Diagnostic report / City Profile report

Tools
T23 Constraints, Challenges and Opportunity, and Suitability Maps

Description
The diagnostic activity builds on the analysis report and the feedback gathered in the Analysis Validation and Diagnostic Workshop (Activity 15). It concludes the assessment phase by defining the key topics, main findings from data collection, thematic maps, challenges, and opportunities that the plan should address, and consolidating them in a diagnostic or a city profile report.

The technical team reviews the outputs of the previous activities, particularly the spatial analysis maps and the participatory maps of constraints and opportunities compiled during the workshop. The team lists the main issues found and writes a brief description of each. In the following phase, each of these issues will respond to a strategy of the plan. Then, a constraints map is produced by localising the challenges (climate-related and non-climate-related challenges) and mapping the most critical features of the city that require prioritised intervention. (For example: high-exposed neighbourhoods to sea level rise, communities with high levels of overcrowding, areas with poor public spaces, among others). This is the first output of the diagnosis and it is the starting point to structure the strategic spatial plan.

The second output is the suitability map. This identifies the suitable areas for urban development and expansion (T19 Urban Expansion Projections). A map of the city is overlapped with all the areas that require conservation and protection (agricultural land, wetlands, natural reserved areas, water bodies, and their buffer zones) and buildable areas that are not threatened by any natural hazards or human issues are identified. These are the zones where the projected population can be potentially accommodated.

The third output is a spatial challenges or opportunity map. This is based on the S.W.O.T analysis (T21 S.W.O.T. Analysis) and the Analysis (Activity 14). The challenges of the city are discussed and mapped on a single map, while identifying areas of opportunity for future development and urban regeneration.

Once the constraints, suitability, and challenges/opportunity maps are completed, it is important to validate the results with the advisory and the steering committee. A validation meeting can be organised to discuss and review specific aspects of the maps. Finally, all the Block D Analysis and Diagnosis components and results are integrated into a Diagnostic or City Profile report.

Steps
1. Review and discuss the spatial analysis maps and the outputs of the Analysis Validation and Diagnostic Workshop (Activity 15).
2. Make a list of the key challenges and opportunities to be addressed in the plan.
3. Consolidate maps and key information collected during the desk and field research.
4. Follow T23 Constraints, Challenges and Opportunity, and Suitability Maps to produce the maps.
5. Conduct a validation meeting with the steering committee and the advisory committee.
6. Compile a final report of the assessment phase in a diagnostic or a city profile report.
7. Share the final report with the committees and publish it on the municipality or planning process website.
References

- City context reports of the Global Future Cities Programme
- City Profiles of the Future Saudi Cities Programme

Suitability Map, Bissau 2030 – Sustainable Development Plan, UN- Habitat
Where do we want to go?

The objective of the second phase is to develop a common vision, a set of strategies and strategic projects that provide spatial and technical support to the future planning of the city. During the Plan phase, the technical team sets the objectives of the urban planning process and defines which plans should be developed, according to the priorities and the capacities of the local government. This phase includes three levels of spatial plans: the strategic development plan, the land management plan, and the neighbourhood plan. The plans are the result of multiple consultations between the technical team, the local government, the key stakeholders and the community. They address the challenges identified during the analysis and diagnostic block and provide solutions at different levels of detail.

<table>
<thead>
<tr>
<th>Block</th>
<th>Plan Title</th>
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<tbody>
<tr>
<td>E</td>
<td>Strategic Development Plan</td>
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<tr>
<td>F</td>
<td>Land Management Plan</td>
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<td>G</td>
<td>Detailed Plan</td>
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The strategic development plan is core to any planning process and aims to define a shared vision of the city for a specific time-frame, based on the challenges and opportunities identified and the guiding document’s objective. It follows a participatory process involving key stakeholders such as government, experts, and civil society, to identify the main issues, to define a vision, to develop the goals necessary to achieve that vision, and the monitoring framework to access the process. The vision and goals are supported by a list of target indicators related to the global, national, and local agreements on sustainable urban development.

This block also proposes a spatialized conceptual structure to identify the skeleton of the city, based on the city boundary, connectivity scheme, and the poles of attraction. It sets a spatial strategy with the transformation and consolidation areas and the catalytic and strategic projects. This block’s output sets an implementation strategy to address investments and resources and monitor individual projects’ impact.
Define a shared vision, supported by goals and targets, to guide the Strategic Development Plan and the overall planning process.

**Strategic Visioning Workshop**

**Objective**

Define a shared vision, supported by goals and targets, to guide the Strategic Development Plan and the overall planning process.

**Tools**

- **T4**: T7 Workshop Checklist
- **T5**: T24 Strategic Visioning Workshop Guide

**Description**

The Strategic Visioning Workshop aims to collaboratively identify the long-term intentions of the city (for the next 15 years or the agreed timeframe of the plan) and set the basis of the strategic development plan. The strategic development plan localises the Sustainable Development Goals and the New Urban Agenda at the city level and aligns the global agenda with the national, regional and local planning framework. The vision acts as a trigger and guides the plan ambitions, creating opportunities and deconstructing challenges into goals and targets.

“A strategic vision shapes a preferred future for the city. Many of the issues affecting cities partially stem from the lack of comprehensive strategic planning before making spatial decisions. Spatial planning is enriched if it is linked with a vision for the future that is holistic and is legitimised if this vision is collectively held. A successful vision has a spatial dimension that reflects a city’s unique cultural and physical traits; it provides direction for the activities of all stakeholders, encourages them to work cohesively and ensures everyone is working towards the same goal.” - United Nations Human Settlements Programme (UN-Habitat) (2014) Urban Planning for City Leaders. 2nd Edition, Nairobi, Kenya.

The visioning workshop starts with an introduction on the international and national urban planning frameworks, to align the city’s planning intentions with the national and global agenda. Present the reference documents and the main observations gathered in the T3 Matrix of References.

Secondly, the facilitators brief the participants about the outputs of Block D Analysis and Diagnostic, including the data collection and analysis, T21 S.W.O.T. Analysis, and T16 Participatory Incremental Mapping. Have printed versions of these materials for consultation during the activity. Participants are divided into smaller groups, according to the Sustainable Urban Development 5/6Ps (People/Planet/Partnerships/Prosperity/Peace/Planning), in which they brainstorm key concepts for each of the vision components: image, purpose, mission, and values. Then they combine all ideas to formulate a sentence (the vision) that describes and represents their future city.

Example: “By 2030, Bissau will be a socially inclusive city with a sustainable urban development which is compact and resilient to climate change, functioning as a catalyst for the country’s economic development.”

Thirdly, participants identify the goals and targets to achieve the vision. While the goals are the main topics of the Strategic Development Plan, the targets are specific objectives of the plan. The goals and the targets should make linkages with the local, regional, national and international agenda, such as the Sustainable Development Goals (SDGs), the Paris Agreement and the New Urban Agenda.

**Participants**

Technical team, advisory committee, steering committee, and further key stakeholders.
**Steps**

1. Prepare any required material for the session (T7 Workshop Checklist).
2. Present the international and national urban planning frameworks previously gathered in T3 Matrix of References.
3. Divide participants into smaller groups to brainstorm the main vision components: image, purpose, mission and values (T24 Strategic Visioning Workshop Guide).
4. Formulate the vision collaboratively and then vote on the best version.
5. Define the goals and targets aligned to the vision.
6. Close the session presenting the final results.
7. If possible, include another participatory moment to invite other stakeholders, including the general public to vote and provide their input.
8. The technical team consolidates the work and shares it publicly

**References**

- San Nicolas de los Garza Vision for 2030
- Bissau 2030 Sustainable Development Plan City Prosperity Initiative
- Sustainable Development Goals Acceleration Toolkit
- Regional Spatial Planning Strategy for Darfur: Peace Building, Recovery and Development of Darfur, the Urban Factor
- Flagship Programme SDG Cities

**Agenda:**

An agenda of the workshop should be presented by the team leader and made available for all participants to understand the development of the session. The time, length of each exercise and content adjustable to the cultural context and the availability of the participants.

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Elaborate a framework to monitor and evaluate the progress of the Strategic Development Plan, the SDGs localization and impact at city level, the local implementation of the NUA, and the national, regional and local plans’ achievement.

**Objective**

- List of key performance indicators linked to the vision, goals and targets.

**Tools**

- Monitoring and Evaluation Framework
- Thematic Issues Checklist

**Description**

Specific and measurable indicators are defined as part of the monitoring and evaluation framework to assess the achievement of the established goals and targets (e.g. “population ratio with access to public transport”, “reduced ratio of carbon emission from motorised transport in a year”, etc.), and thus monitor the overall progress of the plan, as well the planning process itself.

International Agendas and frameworks such as SDGs indicators, national strategies such as the NDC and NAP monitoring and evaluation frameworks and the SDG voluntary national review (if any) should be consulted to make linkages with them. T26 Thematic Issues Checklist tool ensures that cross-cutting aspects such as social inclusion, resilience and safety are adequately addressed and monitored during the plan development. Use the T25 Monitoring and Evaluation Framework tool to compile the results from the workshop and define the technical indicators and additional information needed to monitor the vision achievement. If possible, a timeline to monitor the goals and the target should be proposed.

This activity is done by the technical team, however, it could be included as part of the visioning workshop to gather ideas and integrate the technical knowledge of stakeholders.

**Steps**

1. Review the vision, goals, targets resulting from the Strategic Visioning Workshop (Activity 17).
2. Review the International Agendas and frameworks linked to each target and goal (T3 Matrix of References).
3. Define the indicators linked to each target, and their source -- International Agendas and/or national and regional plans.
4. Review that the cross-cutting issues of urban planning (social inclusion, resilience and safety) and the guidelines of the New Urban Agenda, the Paris Agreement and the Sustainable Development Goals are included in the goals and targets.
5. Formulate any missing indicators that would benefit the monitoring framework.
6. Define the institution in charge of measuring the indicator, the calculation needed to evaluate it, and establish a baseline to measure its progress.
7. Determine a timeframe to monitor each indicator, according to the type of data needed.
8. If possible, set up a timeline to monitor the goals and targets.
9. If possible, define participatory mechanisms to measure the progress of the plan with the support of the community.

**References**

- Global SDGs indicators (SDGs webpage)
- SDG Voluntary National Reviews
- Bissau 2030 Sustainable Development Plan
- City Prosperity Initiative
- The New Urban Agenda Monitoring Framework
- Next steps under the Paris Agreement and the Katowice Climate Package
Spatialisation of the Strategic Vision

Objective

Spatialise the strategic vision by identifying concrete proposals that can be implemented in the territory to contribute to the fulfilment of the vision.

Tools

T27 Spatialisation of the Strategic Vision Workshop

Description

The Spatialisation of the Strategic Vision is the first attempt to propose spatial actions in specific areas of the city. The spatialisation is approached by identifying interventions and actions for each of the goals defined in the Strategic Vision, integrating different aspects and strategies identified in the territory in previous activities.

This activity is elaborated collaboratively between different stakeholders, led and coordinated by the technical team. The description of each goal guides the discussion of how the different components of the natural and built environment should look like in the next 15 years and how the community and the social relations will be impacted by the proposed interventions. Elements such as the natural areas, the public space network, the housing opportunities, the economic level, the public transport systems, the institutional capacity for urban management, etc. are aspects to cover. This activity should also be supported by statistical projections, including demographic and climate projections, and/or a hypothetical timeline of events that would lead to the fulfilment of each goal.

Steps

1. Review all the information, data, and outputs from previous activities, including Block D Analysis and Diagnosis.
2. Divide participants into smaller groups, each one focusing on one of the goals established in the Strategic Vision (T27 Spatialisation of the Strategic Vision Workshop).
3. Discuss and brainstorm a list of actions and projects for each goal.
4. Spatialise and map all the proposed interventions in the territory.
5. Review the results and consolidate the final maps.

Results

- Maps of strategic goals
Objective

Consolidate the new urban development structure of the city, by defining the urban perimeter and identifying the areas of transformation and consolidation.

Results

- A map of the new development structure of the city, including the new urban perimeter and the strategic development zones.

Tools

T28 Sustainable Development Structure Guide

Description

The conceptual structure of the city identifies the key features of the Strategic Development Plan. These include the urban perimeter, the connectivity scheme, the main nodes and landmarks of the future city, and the different areas of development or conservation. The current structure of the city was developed in Field Research (Activity 13) with the T16 Participatory Incremental Mapping tool and the Analysis (Activity 14). This is the base of the sustainable development structure for the future city.

Firstly, the technical team should review the outputs from previous activities. Secondly, the team focuses on defining the new urban perimeter. The urban management boundary — also called urban edge, urban perimeter or planning boundary — sets the limits for the future growth of the city to guarantee sustainable development. The boundary is a regulatory tool that legally establishes the planning limits, controls urban sprawl, and classifies the land into three types: urban area, urban expansion, and rural area.

The new urban perimeter should consider the urban expansion projections (T19 Urban Expansion Projections) and propose an adequate density for the local context and an adequate proportion of public land (30-45%). The urban perimeter is defined considering existing natural or artificial elements, such as topographic elements, major infrastructures, natural landscape, etc. to ensure its legibility and clarity.

Once the new urban perimeter is established, strategic development zones are defined for different areas of the city:

Urban consolidation: in urban areas where the infrastructure capacity and the land occupation are balanced and/or there are no predictable or justifiable major changes in the current urban fabric and urban form.

Urban transformation: in urban areas where there is a mismatch between the infrastructure capacity and land occupation and/or where substantial changes in the current urban fabric and urban form are predicted.

These actions should be distributed within the territory considering the existing assets and potentialities. Specifically, different categories are identified: strategic transformation zone, social transformation zone, adaptation transformation zone, cultural consolidation zone, and environmental consolidation zone (see definitions in T28 Sustainable Development Structure Guide).

This activity is carried out by the technical team but can also be developed as a workshop in collaboration with the advisory committee. Otherwise, the results must be revised and validated by them.
Steps
1. Review the structure of the city developed during the T16 Participatory Incremental Mapping tool.
2. Review the population growth rate, the urban expansion projections, and the trends of growth defined during the analysis (T19 Urban Expansion Projections).
3. Draw the new urban perimeter and classify the land into urban area, urban expansion or rural area (T28 Sustainable Development Structure Guide).
4. Define the areas of transformation and consolidation and classify them into strategic transformation zones, social transformation zones, adaptation transformation zones, cultural consolidation zones or environmental consolidation zones.
5. Consolidate a map that integrates the new sustainable development structure of the city, including the strategic development zones.
6. Validate the results with the advisory and steering committee.

References
- Planned City Extensions: Analysis of Historical Examples
- Urban Planning for City Leaders

Belmopan Urban Development Plan, Belmopan, Belize.
Finalise the Strategic Development Plan, by identifying spatial strategies for the transformation and consolidation zones, and the strategic density areas.

- Final map representing the Strategic Development Plan, including spatial strategy and strategic density areas.
- Environmental and Social Screening Report for the urban plan

Tools
- T29 Spatial Strategies Guide
- T10 Environmental and Social Screening Report Template

Description

Building on the new sustainable development structure, spatial strategies and strategic densities in sub-zones of the territory should be defined. Spatial strategies are divided into four categories: conservation, extension, regeneration and densification. While the first is mostly applied to consolidation zones (cultural and environmental), the others describe the interventions in the transformation zones (strategic, social and adaptation). Specific spatial strategies are defined according to the current growth trends, infrastructure capacity, and land occupation (see T29 Spatial Strategies Guide).

Extension strategies occupy new land within the new urban perimeter and generate supporting infrastructure, to absorb the increasing demand of residential and productive/logistic areas. Adequate location of extension areas depends on the current trends of development, and should be coupled with densification strategies to prevent sprawl and conservation strategies to maintain green spaces/pockets within the future urban structure.

Densification strategies should be applied in underused areas and aim to saturate the land according to the existing infrastructure capacity and environmental feasibility, ensuring sustainable standards such as 30-45% of public spaces. Urban regeneration strategies aim to transform existing neighbourhoods by strengthening local assets to promote economic, social, ecological and physical benefits. Examples of urban regeneration interventions are design projects, policies, programmes and initiatives that create inclusive and vibrant spaces through improved access to basic services (adequate drainage system and sewage, drinking water, etc.), public space network, integrating mobility, housing upgrading, etc. Finally, conservation strategies focus on fragile areas that accommodate environmental or cultural assets affected by environmental and man-made hazards or that require protective measures from the growth of the city (e.g. encroachment).

The spatial strategies should be aligned with the strategic density of each area, divided in high, medium or low density. UN-Habitat promotes an average of 15,000 inhab/km² for sustainable urbanisation and a compact city. The definition of high, medium and low density changes drastically depending on the context. While too low densities do not promote sustainable urbanisation, too high densities disrupt the existing urban landscape and bring a critical demand for infrastructure and basic services.

The technical team assigns different density levels to sub-zones or neighbourhoods of the city, according to the population growth scenarios, the cultural context, the trends and vulnerability to climate change, the availability of land, the specific nature of the land, the land market value, and the technical capacities and requirements. Particularly, density distributions follow the structure of the city, the hierarchy of roads and the main urban form, rather than the consolidation and transformative zones. The promotion of Transit-Oriented Development (TOD) in the strategic development plan is crucial to ensure a strategic and effective use of resources and valuable land.

The main output of this block is a comprehensive map of the Strategic Development Plan, describing the new structure of the city, the new urban perimeter, the development zones (consolidation and transformation), the spatial strategies sub-zones (extension, densification, regeneration or conservation) and the strategic density areas (high, medium or low). Once all these layers and their relations are clearly defined, a comprehensive map is prepared and validated with the advisory committee.
Steps

1. Review the structure of the city and the development zones identified in the previous activity.
2. Assign a spatial strategy (extension, regeneration, densification or conservation) to each zone or sub-zone (T29 Spatial Strategies Guide).
3. Define the levels of density (high, medium or low), considering the city structure, socio-economic data, climate vulnerability, and growth projections.
4. Consolidate the Strategic Development Plan map.
5. Conduct a validation meeting with the advisory committee.
6. Prepare an Environmental and Social Screening Report (T10 Environmental and Social Screening Report Template) for the city plan, with the results of the Strategic Development Plan, and identify the risk category and Safeguards steps.

Goal 1 - Bubaque Basic Spatial Plan, Guinea Bissau, UN-Habitat
Objective

Develop a detailed action plan to monitor and manage the possible environmental and social risks and impacts of the plan.

Results

- Environmental and Social Development Impact Plan (DIP) for the city plan
- Environmental and Social Scoping Report for the city plan
- Environmental and Social Action Plan (ESAP) for the city plan

Tools

- T11 Environmental and Social Development Impact Plan (DIP) Template
- T30 Environmental and Social Scoping Report Template
- T31 Environmental and Social Action Plan Template

Description

The results of the Screening Report for the city plan, elaborated in the previous activity, Spatial Strategy (Activity 22), will indicate whether the plan requires a Social Development Impact Plan (DIP) — a simplified plan to monitor the risks and impacts — or a Scoping Report and an Action Plan (ESAP).

The DIP preparation requires a discussion and identification of the activities, initiatives and actions that the urban plan proposes, and consists of two overview tables. The Scoping Report for the plan includes a presentation of the overall project (city plan) and a further analysis of the risks identified in the Screening Report. The Scoping Report is an important step to prepare the team for the development of the Environmental and Social Action Plan (ESAP).

For the ESAP, the team will determine detailed measures to avoid negative impacts, and a monitoring plan to monitor unexpected impacts. The ESAP comprises three main sections: the results of the Scoping Report, an Environmental and Social Management Plan (ESMP) and the list of stakeholders to be involved.

Steps

1. Review the results of the Screening Report for the city plan (T10 Environmental and Social Screening Report Template) and identify if the project requires a Development Impact Plan (DIP) or a Scoping Report and an Environmental and Social Action Plan (ESAP).
2. If only a DIP is required, fill the T11 Environmental and Social Development Impact Plan (DIP) Template with information about the city plan.
3. If the Scoping Report and ESAP are required, use the T30 Environmental and Social Scoping Report Template and the T31 Environmental and Social Action Plan Template as a guide to develop them.
4. Share the finalised results with the municipality’s sector responsible for the city plan to review and approve.
Identify strategic actions and catalytic projects that will allow the vision and strategies to materialise in specific interventions and actions, aligned to the vision, goals and targets, and to the spatial strategies.

- List of prioritised actions and catalytic projects
- Final report of the Strategic Development Plan (vision, goals, target, and indicators)

The definition of strategic projects catalytic actions within the Strategic Development Plan makes direct linkages between the plan and its implementation. This is a participatory activity that can take place in a workshop, in which the technical team, the advisory committee, the steering committee, and other key stakeholders discuss together what are the strategic projects that align to the vision. This activity builds on the Spatialisation of the Strategic Vision (Activity 19) but goes into more detail by prioritising the most strategic projects.

Firstly, participants identify priority areas among the development zones requiring urgent interventions. Strategic projects are relevant interventions and priority actions needed to transform the city. The prioritisation of areas depends on the current trends of development, climate vulnerability and the available infrastructure. For instance, an area well-connected with the city structure, close to public services, with high vulnerability to floods and currently under pressure by informal development could be a priority area.

Secondly, identify catalytic actions and strategic projects, which are concrete entry points that translate the plan into actions and proposals:

<table>
<thead>
<tr>
<th>Catalytic actions</th>
<th>Small or medium scale strategic interventions with great potential of transformative impact at the city and regional scale, and possibly shorter term implementation. These actions can impel and guide subsequent development.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic Projects</td>
<td>Longer term and larger scale projects that when implemented, will address several goals of the established Strategic Development Plan and fulfil the strategic vision. Commonly, a plan might have between five and ten catalytic projects.</td>
</tr>
</tbody>
</table>

These actions and projects accelerate and promote a better environment and facilitate and unblock further actions. Catalytic actions could also operate as pilot projects to test specific components of the Plan and calibrate the overall approach. Catalytic actions and strategic projects must respond to the findings in Block D Analysis and Diagnosis, and previous activities of Block E Strategic Development Plan, including all participatory activities. They should also be linked with the goals and targets to monitor their impact developed in the Monitoring and Evaluation Framework (Activity 18).

After the catalytic actions and strategic projects are defined, the Strategic Development Plan document is elaborated to integrate all the activities in this Block and its outputs, including the vision, goals, targets and indicators, the sustainable development structure, the spatial strategies, and the catalytic projects.
Climate Action

At this point, possible adaptation options should be identified and the city’s goals and targets should be analysed regarding their link to climate change risks. This is a necessary step in order to understand how the city’s goals and targets could be affected by climate change impacts and which adaptation options and possible projects are to be considered in response.

Tools

T34 Adaptation Options Identifications

References

- SDO Project Assessment tool
- Project Portfolio Towards the Vision of San Nicolás de los Garza 2030, Mexico

Steps

1. Prepare any required material for the session (T7 Workshop Checklist).
2. Review the analysis and diagnosis findings.
3. Review the outputs of the T10 Environmental and Social Screening Report Template.
4. Review the vision, goals, targets and indicators established in the T25 Monitoring and Evaluation Framework.
5. Review the constraints, challenges and opportunities, and constraints map, the sustainable development structure and the spatial strategies.
6. In groups, identify and discuss the strategic projects aligned to each of the plan’s goals (T32 Strategic and Catalytic Projects Workshop Guide).
7. Consolidate and identify a list of catalytic actions and strategic projects considering the priority areas, needs, and alignment to the plan’s goals.
8. Map the specific locations where the projects should be implemented, based on the Spatialisation of the Strategic Vision (Activity 19).
9. The technical team systematises the information by prioritising the catalytic actions and projects (T33 Project Prioritisation Template) and identifying their connection to the goals and targets.
10. Integrate a final report of the Strategic Development Plan, including all the components of Block E Strategic Development Plan, share it with the advisory committee for validation and publish it as part of the communication and participation strategy.
Finalise the Strategic Development Plan Block with the review of the legal components and develop a preliminary financial plan.

- Verification of the legal requirements of the plan and of compatibility with local governance
- Computation of implementation costs
- Computation of additional investment costs needed for the plan

At this final stage of the planning phase, it is essential to review and finalise the legal and governance components and start developing the financial framework of the Strategic Development Plan – key to its successful implementation.

The legal frameworks and governance structure is a necessary preparatory step for this activity. Every part of the plan needs to be in alignment with the legal governance framework. At the end of the review, possible incompatibilities with the legal requirements ought to be highlighted and resolved. Legal reforms may be initiated, provided they are considered necessary, not only for the implementation of this plan specifically, but also to the improvement of the urban planning and development context. Authority and time compatibility are also factors to be considered in case legal reforms and governance restructuring need to be implemented.

A strong financial plan is a defining success factor for the operationalisation and implementation of a Strategic Development Plan. At this stage of the urban planning process, it is possible to do an estimation of the overall costs of the plan and to compare them with the initial budget. This first step is essential to set the basis for the development of a financial strategy to implement the plan, which would ensure that all costs are covered.

It is fundamental to have conducted a thorough analysis and assessment of the legal and financial framework: it should already be clear which could be the most feasible and accessible financial mechanisms. In order to verify their suitability for the plan, a range of estimated revenue should be calculated for each financial mechanism. The team members conducting this activity should be competent technical and financial experts.

Additionally, financial mechanisms are preliminarily mapped for each catalytic project based on their estimated revenue and periodicity. While selecting the financial mechanisms, collect and list the available resources to later proceed with their implementation. In the event of having selected financial mechanisms that are not directly applicable in the planning legal framework, collect all the information related to the required steps and reforms that ought to be carried out.

Steps
1. Verify the compatibility of the plan with the legal resources and local governance (Legal Resources Review (Activity 2)).
2. Review the budget available for the plan (T4 Financial Assessment Guide) and the selected financial mechanisms (T5 Financial Mechanisms Catalogue), in alignment with the Financial Resources Review (Activity 3).
3. Review the list of prioritised catalytic and strategic projects aligned to each of the plan’s goals for the plan implementation (T33 Project Prioritisation Template).
5. Evaluate if new financial mechanisms need to be implemented and whether this is feasible.
6. Define the enabling mechanisms that require further elaboration to implement the plan.
7. Consolidate the findings from this activity into a working plan for the next phase – Operationalisation.

References
- City of Toronto Long-term Decision-making, Planning and Budgeting
- City Revenue Fact Sheet (New Revenue/Taxation Options)
- USAid – Project Financial plan template
**Public Hearing**

**Objective**
Present the Strategic Development Plan to the entire community, inviting the public to provide feedback.

**Results**
- Validation of the Strategic Development Plan

**Description**

The public hearing is open to the entire community and aims to share with the civil society the results of the Strategic Development Plan. The team presents the different activities conducted so far and the main outputs integrated into the report, using a clear and simple language. If possible, the final Strategic Development Plan report is shared with the community before the event, to give adequate time to review it. This session could also be an occasion to validate the prioritisation of catalytic projects with the community.

Once the plan is presented, an open discussion is facilitated to gather feedback and concerns from the public. The plan could also remain available online for a period of time for public consultations and to gather any additional inputs not captured during the public hearing. While gathering feedback and discussing the plan with the community, the team should try to identify the root of the expressed problems or challenges. Sometimes, a complaint from one individual might have a deeper reasoning behind affecting also other members of the community or other areas of the city. The team should not draw conclusions without asking clear and non-technical questions to the citizens. The comments of the public must be taken into consideration and integrated in the plan. Finally, the plenary session is concluded by explaining the next steps of the plan development and implementation.

The public hearing may be an opportunity to engage with other stakeholders that have raised their interest to collaborate more actively in the next activities.

**Steps**

1. Share and/or publish the Strategic Development Plan report.
2. Schedule the session and book a location adequate to host the entire community (T7 Workshop Checklist).
3. Consider interactive digital platforms to reach a broader community to validate the plan.
4. Communicate the event in advance and through different channels.
5. Prepare a brief presentation to present the Strategic Development Plan.
6. Facilitate the questions and interventions, stimulating dialogue.
7. Take notes of key points of discussion and capture pictures of the ongoing session, for reporting purposes.
8. Remind participants of the following appointments and next steps.
9. If needed, share the team’s contact information with new interested stakeholders.
10. Review the inputs from the Public Hearing and incorporate them into the Strategic Development Plan.
The Land Management Plan guides the urban development of the city for the next 10 to 15 years. It is a regulatory spatial document with legal value that translates the spatial strategies into a detailed land use plan, and provides uses, developments and potential of land as well as restrictions and responsibility tied to it. It should be developed in the most consultative and inclusive way and builds on expert deliberations held through multi-stakeholder discussions. It provides the local government a tool to dialogue with future investors and partners, to select and prioritise projects, and to guide urban development towards the principles of Sustainable Urban Agenda.

This document requires high capacities in terms of time, budget, and expertise, therefore, it is not mandatory for the implementation of strategic and catalytic projects in the city. However, it is highly recommended for the development of a solid and comprehensive urban framework.

26. **Land Use and Regulatory Directives**
   - 4-6 weeks
   - 3 tools

27. **Sectoral Planning**
   - 4-6 weeks

28. **Land Development Strategy**
   - 2 weeks
   - 1 tool

29. **Public Hearing**
   - participatory
   - 1 day
   - 1 tool
Define land regulatory directives, in terms of land use, quantitative and qualitative urban planning and design directives, and cross-cutting issues.

- A land-use map determining the future land development of the city
- A report describing the regulatory directives applied to each sector of the city

**Tools**

T26 Thematic Issues Checklist
T36 Compatibility of Functions Guide
T37 Smart Mixed-Use Planning Tool

**Description**

This activity aims to translate the recommendations of the Strategic Development Plan into detailed directives, regulating the use of the land with clear standards and indexes. Firstly, the technical team defines sub-zones and plots for the Land Management Plan, considering the development zones and the recommendations of the Strategic Development Plan.

Secondly, the technical team elaborates detailed land-use directives, consistent with the development zones (social, strategic, environmental, cultural). Compatibility of adjacent functions and an equal distribution of services are key aspects to be considered in this process. Providing smart mixed-use land management directives, the plan should promote and guide the building of compact and inclusive cities, with a transit-oriented approach. Specifically, the compatibility of functions (T36 Compatibility of Functions Guide) should indicate forbidden, tolerated and conditional uses for each development sub-zone to ensure flexibility and the opportunity to introduce bonuses and incentives mechanisms. The plan will then become a smart and effective tool to moderate the negotiations between the municipality and the future developers and ensure the achievement of sustainable and resilient urban development.

Additionally, each sub-zone should have clear development directives (e.g. floor area ratio (FAR), maximum height of the buildings, setbacks, etc.). The plan should indicate a minimum and maximum density for each sub-zone (FARs), however, the built-up density will depend on the developers and the mechanisms of density bonus, remaining consistent with the population projections and the urban landscape. Particularly, developers could access development rights, increase the density or other incentives in exchange of revenue for the city and/or the implementation of good urban practices established by the plan, such as including social housing, social mix, mixed-use, active facade, physical permeability, renewable energy source, etc.

Finally, detailed recommendations on specific thematics could be integrated to the Land Management Plan document, such as social housing, green coverage and nature-based solutions, mobility, water supply, wastewater and solid waste management, as well as social inclusion, resilience, safety, etc. Use T26 Thematic Issues Checklist to ensure that every cross-cutting issue is adequately regulated. If these cross-cutting topics are developed into an additional and more detailed plan, it should be incorporated as a Sectoral Plan (Activity 27), explained in the following activity.

Once the Land Management Plan is elaborated, expert consultation meetings must be held with the advisory committee. Once the feedback from the advisory committee is included, the Plan should start the approval process and finally be published and communicated in a Public Hearing (Activity 29).
Review the Strategic Development Plan (Sustainable Development Structure (Activity 20), Spatial Strategy (Activity 21) and Pre-operationalisation (Activity 24)).


Divide the Development Zones into sub-zones.

Define the following regulatory directives for each sub-zone:

a. Elaborate a compatibility of function guide T36 Compatibility of Functions Guide to detail land use indications, consistent with the Development Zones (social, strategic, environmental, cultural).

b. Assign urban planning standards such as ratio of private/public land, gross floor area index, green index, etc. (see smart mixed-use land management guide).

c. Define simplified financing mechanisms linked to the Land Management Plan.

d. Elaborate sectorial recommendations related to mobility, social housing, environment, public facilities, basic services, heritage, etc.

e. Elaborate additional cross-cutting recommendations, using T26 Thematic Issues Checklist, to address aspects such as social inclusion, human rights, resilience, hazard risk and safety.

Prepare a regulatory land-use map.

Compile all the regulatory directives (land use, density, urban planning standards) into a comprehensive report linked with the land-use map.

Share the results with the Advisory Committee and review the plan based on the feedback.

**Steps**

1. Review the Strategic Development Plan (Sustainable Development Structure (Activity 20), Spatial Strategy (Activity 21) and Pre-operationalisation (Activity 24)).


3. Divide the Development Zones into sub-zones.

4. Define the following regulatory directives for each sub-zone:
   
a. Elaborate a compatibility of function guide T36 Compatibility of Functions Guide to detail land use indications, consistent with the Development Zones (social, strategic, environmental, cultural).
   
b. Assign urban planning standards such as ratio of private/public land, gross floor area index, green index, etc. (see smart mixed-use land management guide).
   
c. Define simplified financing mechanisms linked to the Land Management Plan.
   
d. Elaborate sectorial recommendations related to mobility, social housing, environment, public facilities, basic services, heritage, etc.
   
e. Elaborate additional cross-cutting recommendations, using T26 Thematic Issues Checklist, to address aspects such as social inclusion, human rights, resilience, hazard risk and safety.

5. Prepare a regulatory land-use map.

6. Compile all the regulatory directives (land use, density, urban planning standards) into a comprehensive report linked with the land-use map.

7. Share the results with the Advisory Committee and review the plan based on the feedback.

**References**

- Tenure responsive land use planning – A Guide for Country Level Implementation
- Planning Sustainable Cities UN-Habitat Practices and Perspectives
Define specific sectoral plans that include an overarching strategy and elaborated regulatory directives for thematics that cross-cut different areas.

Sectoral Plan

Objective

- Define specific sectoral plans that include an overarching strategy and elaborated regulatory directives for thematics that cross-cut different areas.

Results

- Sectoral plan maps and regulatory directives report.

Description

The land management and control activities define the land-use and density of each zone and subzone of the plan, providing clear regulatory and binding directives. However, several aspects and challenges of a city are systemic and require an overarching strategy. Depending on the context and its complexity, several sectoral plans can be developed to address issues such as water bodies and drainage systems, biodiversity corridors and wetlands, climate action, energy and information systems, mobility, heritage, housing, waste management, slum regeneration, network of public spaces, etc.

Urgent sectors might have been already identified during the analysis and diagnostic block or in the Strategic Development Plan, addressed with specific goals and targets. The development of sectoral plans might also improve the quality of the land-use management, integrating specific recommendations or spatial indexes. It is recommended to develop the sectoral plans in parallel with the land management plan to ensure coherence. Key experts and stakeholders should be involved during the elaboration of the plans, to improve quality and implementation feasibility.

Steps

1. Review previous activities and identify the key sectoral plans that should be developed.
2. Engage with key experts and stakeholders who will advise in the development of the sectoral plans.
3. Develop sectoral plans in parallel with the land management and control activities.
4. Define regulatory directives and recommendations and integrate them into the final Land Management Plan.

References

- A Practical Guide to Designing, Planning, and Executing Citywide Slum Upgrading Programmes
- Integrating health in urban and territorial planning: a sourcebook for urban leaders, health and planning professionals
- City-wide public space strategies: a compendium of inspiring practices
- Waste Wise Cities
- Planning for Climate Change: A strategic, values-based approach for urban planners
- Constructed Wetland Manual
Objective
Structure the phases of the plan approval process and define land and financial strategy for the Land Management Plan’s implementation.

Results
- Preliminary draft of land and land management financial strategy

Tools
T5 Financial Mechanisms Catalogue

Description
The approval and integration of the land management plan as a law requires specific procedures, already identified with the T2 Urban Legislation Assessment. Once the plan is elaborated, it is important to verify its consistency with the existing legal framework at the local, regional and national scale and if it responds to the requirements of the plan approval. Based on the outputs obtained during the assessment (Legal Resources Review (Activity 2) and Financial Resources Review (Activity 3)), it is necessary to address the financial component by reviewing and iterating the network of partners and available resources. Complement this information with the specific land-based financial mechanisms.

In this activity, the technical team, with reviews the steering committee, develops the land management mechanisms needed to implement the Land Management Plan, and ensure an equitable, inclusive and resilient implementation of the plan. Land is the most valuable resource when it comes to planning and the plan requires a clear management strategy that ensures land tenure security, establishes mechanisms of land acquisition and resident compensation, optimises its use and promotes ecological balance, and link to development rights policies, density incentives, and regulatory directives elaborated in the previous activities. It is recommended to draft a preliminary land management strategy before the public hearing, as it will be a critical topic to discuss. This is based on existing documents, data gathered, the analysis elaborated during Block D Analysis & Diagnostic, and the municipality’s available resources. If needed, it can be developed in further detail at a later stage.

Steps
1. Review the outputs of the T2 Urban Legislation Assessment and check the plan’s alignment with the local, regional and national legal planning frameworks.
2. Review the network of partners and available resources (Legal Resources Review (Activity 2) and Financial Resources Review (Activity 3)).
3. Develop a preliminary financial strategy for the specific land-based financial mechanisms in T37 Smart Mixed-Use Planning Tool Review T5 Financial Mechanisms Catalogue to find other relevant financial mechanisms.
4. Define a preliminary land management strategy, based on existing information.
5. Consolidate a Land Management Plan document, integrating the different outputs of this block.

References
- Global Land Tool Network
- Fit-for-Purpose Land Administration Principles
- Assessing the Impact of Eviction Handbook
- Financing Urban Shelter
- City Wide Public Space Strategies
Public Hearing

**Objective**
Communicate the Land Management Plan to the entire community, inviting the public to provide feedback.

**Results**
- Validation of the Land Management Plan

**Tools**
T7 Workshop Checklist

**Description**
This public hearing session aims to share with the civil society the results of the Land Management Plan. The team presents the different activities conducted so far and the main outputs, using a clear and simple language. Possibly, a Land Management Plan report is shared with the audience in advance, to provide adequate time to review it. Specifically, the technical team expects to receive here detailed comments at the plot level from the residents, that might have not been adequately addressed.

Once the plan is presented, an open discussion is facilitated to gather feedback and concerns from the public. The comments of the public must be taken into consideration and integrated in the plan. Finally, the plenary session is concluded by explaining the next steps of the plan approval, its integration to the statutory planning, and its implementation.

The public hearing may be an opportunity to engage with other stakeholders that have raised their interest to collaborate more actively in the next activities.

**Steps**
2. Schedule the session and book a location adequate to host the entire community (T7 Workshop Checklist).
3. Consider interactive digital platforms to reach a broader community to validate the plan, especially during the global pandemic.
4. Communicate the event in advance and through different channels.
5. Prepare a brief presentation to present the Land Management Plan.
6. Facilitate the questions and interventions, stimulating dialogue.
7. Take notes of key points of discussion and capture pictures of the ongoing session, for reporting purposes.
8. Remind participants of the following appointments and next steps.
9. If needed, share contact information with new interested stakeholders.
PHASE 2: PLAN BLOCK F: LAND MANAGEMENT PLAN

Participatory workshop, Saudi Arabia, UN-Habitat
Neighbourhood plans are localised urban development plans prepared in alignment to the Strategic Development Plan. They focus on specific localities of an urban centre, and are used to implement the city’s strategic and catalytic projects and/or more detailed scale or partial plans. Specifically, they focus on the development of extension, regeneration or densification interventions. The outputs of this block should be detailed and implementable plans with smart solutions that consider social, economic and environmental impact in a neighbourhood or smaller scale area of the city.

**30. Neighbourhood Plan Preparation**
- 2 week
- 4 tools

**31. Detailed Data Gathering and Analysis**
- 2 week
- 1 tool

**32. Neighbourhood Plan Workshop**
- participatory
- 1-2 days
- 3 tools

**33. Neighbourhood Plan and Design**
- 2 weeks
- 4 tools

**34. Neighbourhood Projects and Interventions**
- 2 weeks
- 4 tools

**35. Neighbourhood Public Hearing**
- participatory
- 1 day
- 1 tool
Neighbourhood Plan Preparation

**Objective**
Identify social and environmental risks of the neighbourhood planning activities and develop a plan to manage and monitor the impacts.

**Results**
- Environmental and Social Screening Report for the neighbourhood planning process
- Environmental and Social Development Impact Assessment (DIP)
- Environmental and Social Scoping Report and Environmental and Social Action Plan for the neighbourhood planning process

**Tools**
- **T10** Environmental and Social Screening Report Template
- **T11** Environmental and Social Development Impact Assessment (DIP) Template
- **T30** Environmental and Social Scoping Report Template
- **T31** Environmental and Social Action Plan Template

**Description**
In this activity, the technical team will review the resources and impact analysis developed for the city planning process with focus on the neighbourhood of interest. The first step is to develop a Screening Report of the Neighbourhood Planning Process (Environmental and Social Screening Report Template).

The Screening Report identifies the risk category of the urban planning activities and outlines the next steps of the environmental and social safeguards according to each risk level. The Development Impact Assessment (DIP) outlines a simplified plan to monitor risks and impacts of lower risk processes.

According to the results of the Screening Report, the DIP is recommended for projects of low or no risk—these are non-operational projects such as “planning processes”. Typically, the urban planning activities do not entail physical/infrastructure interventions, however the activities as field mission, consultations and data gathering may lead to environmental and social impacts or risks that need to be considered. Therefore, the preparation of a DIP is prescribed to assess possible future impacts and/or risks and to lay the groundwork for monitoring. Other specifications for Environmental and Social tasks may include Environmental and Social monitoring, management plans or the execution of a new screening assessment for following projects.

**Steps**
1. Review the Scoping Report for the planning of the city developed in Environmental and Social Impact Strategy for the Urban Plan (Activity 22) to see if this neighbourhood has already been identified as an area of influence.
2. Fill the T10 Environmental and Social Screening Report Template with information of the neighbourhood planning process and activities.
3. If a DIP is required, use the T11 Environmental and Social Development Impact Plan (DIP) Template.
4. If an ESAP is required, use the T30 Environmental and Social Scoping Report Template and the T31 Environmental and Social Action Plan Template to develop them.
5. If necessary, review and adjust the work plan (T8 Work Plan Template) and budget in the Guiding Document (Activity 5).
6. Share the finalised DIP or Scoping Report and ESAP with the municipality’s sector responsible for the Neighbourhood Plan to review and approve.

**References**
- UH-Habitat Environmental and Social Safeguard System (ESSS) 31
31 ACTIVITY

Detailed Data Gathering and Analysis

Objective
Gather additional data of the selected area or neighbourhood and develop more detailed spatial analysis regarding the main challenges and opportunities identified or linked to the Spatial Strategic Plan.

Results
- A set of detailed analytic maps of the specific neighbourhood for which the plan will be developed.

Tools
T38 Detailed Data Gathering and Analysis Checklist

Description

In Block D Analysis and Diagnostic, data was gathered and analysed corresponding to the national, regional, metropolitan, and city scale. In this activity, specific data is gathered of the selected area or neighbourhood through desk and field research, in order to analyse and produce more detailed information needed for the neighbourhood plan. It has to be considered that neighbourhood data may require more time to be obtained compared to national or regional data since it is common that specific information at a local level has not been produced or properly recopilated (e.g. climate and environmental data, economy and livelihoods or detailed demographic data).

The first step before starting is defining the neighbourhood boundary and the polygon for which the plan will be developed. Then, a stakeholder mapping exercise should be conducted to identify key stakeholders that need to be involved along the neighbourhood planning process.

Additionally, qualitative and quantitative data is gathered regarding the natural environment, risk and vulnerabilities, demographic and social aspects, accessibility and mobility, built environment, public space, services provision, economic activities, etc.

Some information might be available in the local municipality, or included in the maps developed for the Diagnostic (Activity 16). If not, it should be collected through field research, carrying out reconnaissance surveys, mapping exercises, household surveys, interviews, focus group discussions, etc. Additional qualitative data might include the local population perceptions and technical knowledge about positive and negative issues in their neighbourhood, such as safety aspects (related to crime, mobility, environmental hazards etc.), public space perceptions, local landmarks, etc.

The information is then digitised using Geographic Information System (GIS) software and consolidated. Then, a spatial analysis is conducted following similar methods described in the Analysis (Activity 14) to produce a series of spatial base maps that describe the current conditions of the neighbourhood.

Steps
1. Define the neighbourhood boundary for which the plan will be developed.
2. Conduct a stakeholder mapping exercise for the neighbourhood scale (T12 Stakeholders’ Mapping) to identify key actors that need to be involved in the neighbourhood planning process.
3. Set up the initial broad research framework including the topics of investigation.
4. Review the information and maps produced in the Analysis (Activity 14) and Diagnostic (Activity 16) at the city scale and consolidate any data that corresponds to the neighbourhood boundary.
5. Define the content list of the analysis.
6. Collect data from municipal offices, academic institutes and/or open source websites. Desk Research (Activity 12) and Field Research (Activity 13) and related tools (T14 Desk and Field Research - Maps and Data Checklist) can be adapted to the neighbourhood scale.
7. Identify additional data needed and select the methods that will be used to conduct the field research (T38 Detailed Data Gathering and Analysis Checklist).
8. Consolidate and digitalise all the data into a single GIS database.
9. Define the key analysis to conduct, considering the available information, the objective of the plan, and the main preliminarily identified challenges.
10. Compile the analysis into a series of spatial maps and identify the prioritised issues that should be addressed in the Detailed Plan.
Climate Action

It is possible to conduct a neighbourhood vulnerability mapping and assessment, following the same methodology as described in T20 Climate Vulnerability Assessment. Additional data should be collected at neighbourhood scale, through household surveys or neighbourhood walks, using geotagging in order to identify local facilities.

Tool

T20 Climate Vulnerability Assessment

Additional resources:

Climate Change Vulnerability and Risk
Prepared Communities: Implementing the Urban Community Resilience Assessment in Vulnerable Neighbourhoods of Three Cities
Neighbourhood Planning Workshop

Objective

Validate the neighbourhood analysis developed by the technical team, and co-create a general design scheme for the neighbourhood plan.

Results

- Selection of goals and targets (from the identified city’s goals and targets) that will be applied to the neighbourhood plan.
- Conceptual design scheme for the neighbourhood (including streets, Blocks, land use, etc.)

Tools

T7 Workshop Checklist
T12 Stakeholders’ Mapping
T39 Neighbourhood Planning Workshop Guide

Description

The Neighbourhood Planning Workshop is a collaborative session to kickstart the development of the Neighbourhood Plan, inviting key actors identified in the stakeholder mapping exercise in the previous activity. The workshop can take place in one or two days, according to the time availability and the capacity of the technical team and participants.

In the first part of the workshop, participants discuss and validate the defined neighbourhood boundary, and the data gathering and analysis performed in the Detailed Data Gathering and Analysis (Activity 31). Then, the vision, goals, and targets of the city are presented. Participants discuss how they can be applied to the neighbourhood scale and select specific goals and targets that will be included in the Neighbourhood Plan.

The second part of the workshop consists of reviewing the Strategic Development Plan and defining the land use to co-design a conceptual scheme for the neighbourhood, including streets, Blocks, public spaces, infrastructure, etc. This exercise should consider the five principles for sustainable neighbourhood planning: adequate space for streets and an efficient street network, high density, mixed land-use, social mix, and limited land-use specialisation (more information can be found in Additional Resources).

Participants

Technical team, the community and relevant stakeholders regarding the selected neighbourhood.
PHASE 2: PLAN
BLOCK F: LAND MANAGEMENT PLAN

1. Validate the neighbourhood boundary and conduct a stakeholder mapping exercise for the neighbourhood scale (T12 Stakeholders’ Mapping).
2. Review and validate the data gathered and spatial analysis maps for the city scale (Block D Analysis and Diagnosis), highlighting the challenges and opportunities.
3. Discuss the city’s vision and select specific targets and goals that apply to the Neighbourhood Plan.
4. Review the spatial strategies (conservation, extension, regeneration, densification) (Spatial Strategy (Activity 21)) that apply to the neighbourhood area and the land uses defined in the Land Management Plan (based on the assigned strategic development zones) (Block F Land Management Plan).
5. Design a conceptual scheme for the neighbourhood.

**References**
- SDG Project Assessment tool
- A New Strategy of Sustainable Neighbourhood Planning: Five Principles
- Using Minecraft for Youth Participation in Urban Design and Governance (Block by Block)
- Climate change vulnerability and risk: A guide for Community Assessments, Action Planning and Implementation

**Suggested agenda (1-day workshop):**
An agenda of the workshop should be presented by the team leader and made available for all participants to understand the development of the session. The time, length of each exercise and content are adjustable to the cultural context and the availability of the participants.

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
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</thead>
<tbody>
<tr>
<td>08.00</td>
<td>Registration and breakfast</td>
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<tr>
<td>08.30</td>
<td>Opening by the Mayor or the project manager followed by an introduction of each participant</td>
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<tr>
<td>09.00</td>
<td>Plenary session: Presentation of the outputs of previous planning activities</td>
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<tr>
<td>11.30</td>
<td>Coffee break</td>
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<tr>
<td>12.00</td>
<td>Discussion group: Selection of goals and targets</td>
</tr>
<tr>
<td>13.30</td>
<td>Lunch break</td>
</tr>
<tr>
<td>14.30</td>
<td>Discussion group: Neighbourhood Conceptual Design</td>
</tr>
<tr>
<td>16.00</td>
<td>Presentation of the final results of the session</td>
</tr>
<tr>
<td>17.00</td>
<td>Closing remarks</td>
</tr>
</tbody>
</table>
Develop an implementable urban design plan for the neighbourhood based on the data gathering, analysis and participatory activities.

**Objective**

- Neighbourhood urban design plan (Neighbourhood Plan)

**Tools**

- Environmental and Social Screening Report Template
- Environmental and Social Development Impact Plan (DIP) Template
- Environmental and Social Scoping Report Template
- Environmental and Social Action Plan Template

**Description**

In this activity, the technical team develops and consolidates the urban design plan for the neighbourhood, informed by the data gathering and analysis, and incorporating the outputs from the Neighbourhood Planning Workshop (Activity 32) and additional urban interventions. The plan is guided by the city’s land use map and the established spatial strategy: extension, regeneration, densification or conservation. Each one has specific focus and implications:

- **Extension zones**: considerable changes in land use, urban Blocks, form and function design, integration of infrastructure, considerable density additions.
- **Densification zones**: almost no changes in land use, detailed density zoning and urban form and function.
- **Regeneration zones**: moderate changes in land use, integration and rehabilitation of infrastructure, slum upgrading, regeneration of environmentally challenging areas, urban form and function design, moderate density additions.
- **Conservation zones**: no changes in land use, integration and rehabilitation of infrastructure, protection of environmental assets, no changes in current density.

The Neighbourhood Plan considers three main components. The first is a detailed design for the public area and those aspects regarding access to services, such as urban streets, public spaces, integrated infrastructure, utilities, etc. In those cases where it is included in the land use, social housing typologies are also defined and designed.

The second is the review of the city’s strategic catalytic projects located in the neighbourhood area, defined in Block E Strategic Development Plan. Additionally to this, specific projects and interventions for the neighbourhood will be defined in the next activity. The third component is the definition of the land and Blocks that are or will be privatised and developed. These areas are subdivided into plots of sizes that consider the designated land use and the local urban structure and context. Finally, especially if the land management plan was not completed, the Neighbourhood Plan includes design standards and regulatory directives that the new private buildings will need to follow, such as setbacks, maximum height, floor area ratio (FAR), quality of public spaces, surface of urban green spaces, facade control details, etc.

Furthermore, in this activity, a Screening Report for the defined Neighbourhood Plan is developed, and a following Environmental and Social Development Impact Plan (DIP) or a Scoping Report and Environmental and Social Action Plan (ESAP).
1. Review the data gathering and analysis and the outputs of the Neighbourhood Planning Workshop (Activity 32).
2. Review the development zones, spatial strategies and catalytic projects included in Block E Strategic Development Plan localised within the neighbourhood boundary.
3. Develop the design and guidelines for the Neighbourhood Plan.
4. Develop a Screening Report for the defined Neighbourhood Plan according to the results of the Screening, prepare a Social Development Impact Plan (DIP) or a Scoping Report and Environmental and Social Action Plan (ESAP).
5. Share the finalised DIP/ESAP of the Neighbourhood Plan with the municipality’s sector responsible for the City Plan to review and approve.

References
Using Minecraft for Youth Participation in Urban Design and Governance (Block by Block)

Climate Action
The planning and design process should also consider integrating options that allow the neighbourhood to adapt to climate hazards. Below you find some examples of adaptation design options that can be implemented at neighbourhood scale:

- Design to manage high temperatures and drought: cool pavement materials, tree planting for shading and evapotranspiration, orientation of buildings to reduce solar gain, rainwater harvesting, etc.
- Design to manage flood risk: use of permeable surface materials, green spaces and green roofs to reduce runoff, widening of drains, etc.
- Design to manage erosion and landslide risk: surface erosion control structures, vegetation cover for soil retention, reinforcing of slopes.

In order to identify adaptation options that can be implemented in your neighbourhood, a good option is to conduct a benchmark with other neighbourhoods or cities that are facing similar climate challenges.

Additional resources:
A Practical Guide to Climate-resilient Buildings & Communities
Build Green: Charter for Sustainable Building, Neighbourhood Design and Urban Mobility in Tropical Countries
Energy and Resource Efficient Urban Neighbourhood Design Principles for Tropical Countries, Practitioner’s Guidebook
Climate change adaptation by design
Objective
Identify specific projects and interventions aligned to the Neighbourhood Plan.

Results
- Neighbourhood projects and interventions
- Preliminary computation of costs and financial strategy

Tools
T5 Financial Mechanisms Catalogue
T33 Project Prioritisation Template
T40 Preliminary Estimation of Costs Template
T35 Preliminary Financial Plan Template

Description
Defining specific projects and interventions in the neighbourhood, aligned to the conceptual structure of the Neighbourhood Plan, allows the plan to come to life. In this activity, the technical team consolidates the specific urban interventions and other strategic projects at the neighbourhood scale, considering the results from the Detailed Data Gathering and Analysis (Activity 31), the outputs and discussion from the Neighbourhood Planning Workshop (Activity 32), and the Neighbourhood Plan and Design (Activity 33). Additional workshops can be carried out with the community to design in more detail specific sites or streets within the neighbourhood, using the Block by Block methodology (See Additional Resources for more information).

Projects and urban interventions can be classified and prioritised according to their scope, scale, impact, investment, urgency, time period of implementation and other criteria. Short term and low investment actions can include tactical urbanism interventions that not only improve the urban conditions with quick and low-cost improvement, but also allow for the process of design and construction to be participatory. Larger scale and high-cost projects will possibly need other forms of funding and management in their implementation, such as requiring funds and support from the municipality, state, or federal government, partnerships with the private sector, or grants.

The identified projects and activities should be in line with the planning legal framework requirements (Legal Resources Review (Activity 2)). It is also important to verify their compatibility with the available resources (Financial Resources Review (Activity 3)) and elaborate a financial strategy. This activity provides tools to support the estimated calculation of costs for the projects (T40 Preliminary Estimation of Costs) and interventions and the development of a Preliminary Financial Plan (T35 Preliminary Financial Plan Template).

Steps
1. Review the Detailed Data Gathering and Analysis (Activity 31) results and the Neighbourhood Planning Workshop (Activity 32) outputs.
2. Consolidate a list of actions categorised into projects (larger scale, higher cost, more time to implement) and interventions (lower cost, scale, and faster to implement).
3. Map the specific locations where the projects and interventions should be implemented.
4. Prioritise projects and interventions, based on relevant criteria, such as: stakeholder acceptability/community needs, impact, urgency, technical feasibility, ease of implementation, cost, time, alignment to city vision and plan, etc. Use T33 Project Prioritisation Template as a guide.
5. Verify the compatibility of the plan with the legal resources and local governance (Legal Resources Review (Activity 2)).
7. Elaborate a preliminary estimation of costs (T40 Preliminary Estimation of Costs Template) and develop a preliminary financial plan using T35 Preliminary Financial Plan Template as a guide.

References
- Tactical urbanism master plan for San Nicolás de los Garza, Mexico
Neighbourhood Public Hearing

Objective
Share, gather feedback, and validate the Neighbourhood Plan with the neighbourhood community.

Results
- Validation of the Neighbourhood Plan.

Tools
17 Workshop Checklist

Description
All relevant stakeholders and community members are invited to the Neighbourhood Public Hearing to learn about the Neighbourhood Plan and provide their feedback and impressions. The technical team presents the process and main outputs, such as the selected target and goals, the consolidated urban design plan and guidelines for the neighbourhood, and the design of projects and interventions and their prioritisation.

After the presentation, there is a facilitated discussion in which community members make questions and provide feedback and comments. The technical team should document all the input received in order to incorporate it to the final planning document. At the end of the session, the next steps of the process and the implementation phase are shared with the public.

The public hearing may be an opportunity to engage with other stakeholders and community members who raise their interest to collaborate more actively in the next activities, such as the design and/or implementation of projects and/or tactical urbanism interventions.

Steps
1. Make a public invitation for the event using different communication channels, such as flyers, posters, radio, television, etc. (17 Workshop Checklist).
2. Consider interactive digital platforms to reach a broader community to validate the plan, especially during the global pandemic.
3. Prepare a brief presentation to share the Neighbourhood Plan and the process followed.
4. Facilitate the questions and interventions, stimulating dialogue.
5. Take notes of the key points discussed and capture photos of the ongoing session for documentation purposes.
6. Share the next steps of the planning process.
How do we transform the plan into reality?

The objective of the third phase is to set a series of actions and enable mechanisms to facilitate the plan implementation. Land, financial, institutional and legal aspects of the plan are reviewed in depth to define a clear and effective policy framework for the plan implementation.
The Programming block aims to consolidate the most relevant information for all catalytic or strategic projects and to determine the best order of project implementation taking into account the approach, technical development, goals, benefits, budget, financing mechanisms and feasibility studies.

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<thead>
<tr>
<th>No.</th>
<th>Description</th>
<th>Duration</th>
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<tbody>
<tr>
<td>36</td>
<td>Project Priorisation</td>
<td>1 week</td>
</tr>
<tr>
<td>37</td>
<td>Project programming and preparation</td>
<td>1 week</td>
</tr>
<tr>
<td>38</td>
<td>Project Programming Workshop</td>
<td>1 week</td>
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<tr>
<td>39</td>
<td>Project Feasibility Study</td>
<td>1 week</td>
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### Project Prioritisation

**Objective**
Determine the optimal order in which the planned catalytic or strategic projects will be implemented, considering the available human and financial resources, the needs of the residents and other relevant stakeholders, and the benefits the projects are planned to provide.

**Results**
- List of prioritised projects and order of implementation.

### Project Programming and Preparation

**Objective**
Consolidate the most relevant information for all catalytic or strategic projects, in terms of approach, technical development, goals, benefits, budget and financing.

**Results**
Project portfolio, including, for each of the prioritised projects:
1. Objectives and alignment to goals
2. Project description, location, and conceptual design
3. Definition of the institution responsible and other co-responsibilities
4. Map similar ongoing actions/projects related and which institutions are in charge of those
5. Preliminary budget
6. Map any potential gaps, challenges and/or requirements for the implementation of those projects

### Project Programming Workshop

**Objective**
Workshop to gather inputs from different stakeholders in terms of project prioritisation and programming.

**Results**
- Validation of project programming and receive feedback from experts and key stakeholders to adjust the Project Portfolio.
Objective

To determine the financial, institutional and legal feasibility of all catalytic or strategic, as well as their benefits in terms of social, economic and environmental impact.

Results

Feasibility study, which includes, for each project:

- Objectives: specific objectives that the projects are following, in terms of: technical, social, environmental, economic, etc.
- Technical solutions
- Cost-benefit analysis: define what are the costs (direct and indirect) of the project, and what are the benefits, measured in terms of: economic, social, environmental. Evaluate if the benefits are greater than the costs in order for the project to be feasible and pertinent.
- Financing mechanisms: map the possible financial mechanism for each catalytic project (T5 Financial Mechanisms Catalogue).
- Additional requirements: in terms of technical (e.g. environmental impact assessment), legal-normative (e.g. revision and change of a law), administrative (e.g. set a committee, a formal partnership between institutions, etc.)

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Gorongosa, Mozambique, UN-Habitat
Land Management Block

The Land Management block aims to assess and analyse the land use regulation and management system in place in terms of information on parcels, rights and right owners, to be able to implement the plan.

40. Land Administration and Information

41. Land Rights

1 week
Objective
Assess and analyse the land use regulation and management system in place in terms of information on parcels, rights and right owners. Based on the current context, propose improvements and create an innovative land regulation strategy to implement the land management plan.

Results
Land use regulation and management system analysis
• Financing mechanisms are defined and clear

Innovative land regulation strategy
• It is comprehensive and encompasses both formal and informal land contexts
• Prioritises the fit-for-purpose principles in building land administration systems
• It is responsive to gender, social and environmental aspects Includes cost recovery approaches in a sustainable model of implementation
• Promotes efficient land development, housing and other investments

Participatory and inclusive methodologies to record and access information
• Bottom-up approaches in land registration and verification
• E-governance solutions for information accessibility
• Capacity building and awareness

Land information systems
• Digitization of processes
• Efficient archiving systems and information access
• Embracing an integrated system for land use and land tenure management
• Enhance land use regulation and planning
Objective

Assess and develop the land tenure rules to define how access is guaranteed to rights to use, control, and transfer land, as well the associated responsibilities and restraints. This activity will focus on assessing the land rights and security of tenure, and to define land tenure rules establishing how rights to land are allocated and managed, using incremental access to land and system of continuum of land rights.

Results

Map of the status of land rights and tenure
- Support both the formal and informal land tenure
- Improve land registration along the continuum of land rights approach
- Affordable practices for land registration and access

Land rights and security tenure system
- Protection mechanisms are improved and protect all land rights and claims
- Promote participatory and inclusive approaches for women and groups in vulnerable conditions
- Promote local charters for the management of rights in informal systems
- Local groups and committees formed to address conflicts through Alternative Dispute Resolution systems
- Local inventories created using innovative tools and approaches in informal land tenure
The Financial Enablers block aims to calculate the running costs of the plan and its impacts on the municipal revenue and identifying financial mechanisms and the provenance of the funds and resources mobilisation for specific catalytic projects.

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<th>Financial Enablers</th>
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<tr>
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<th>Financial Mechanisms</th>
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<tr>
<td>42.</td>
<td>1 week</td>
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<tr>
<th></th>
<th>Capital Investment Plan</th>
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<tbody>
<tr>
<td>43.</td>
<td>1 week</td>
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</table>
Define the most adequate financial mechanism for each of the catalytic projects.

Objective
- Definition of financial mechanisms for each catalytic project.

Results

43 Capital Investment Plan

Objective
Define a plan to manage the investment and resources needed to implement the Strategic Development Plan, Land Management Plan, Sectoral Plan or/and Neighbourhood Plan and their projects, in alignment with the city’s planning legal frameworks and financial abilities.

Results
- Capital Investment Plan
The strategic development plan is core to any planning process and aims to define a shared vision of the city for a specific time-frame, based on the challenges and opportunities identified and the guiding document’s objective. It follows a participatory process involving key stakeholders such as government, experts, and civil society, to identify the main issues, to define a vision, to develop the goals necessary to achieve that vision, and the monitoring framework to access the process. The vision and goals are supported by a list of target indicators related to the global, national, and local agreements on sustainable urban development.

This block also proposes a spatialized conceptual structure to identify the skeleton of the city, based on the city boundary, connectivity scheme, and the poles of attraction. It sets a spatial strategy with the transformation and consolidation areas and the catalytic and strategic projects. This block's output sets an implementation strategy to address investments and resources and monitor individual projects’ impact.

44. Institutional Arrangements

45. National and Sub-National Urban Legal Framework

1 week

1 week
Identify and establish the institutional arrangements needed for the implementation of the plan and projects, such as creating new groups, partnerships, committees, boards, agencies. Instruments, agreements and formal administrative processes should be institutionalised according to the local legal and administrative requirements.

Results
- Definition of financial mechanisms for each catalytic project.

Objective
- Capital Investment Plan

National and Sub-national Urban Legal Framework

Objective
Identify the modifications to existing laws and regulations needed in order to enable the implementation of the plan, as well as complementary legislation and legal instruments that need to be developed.

Results
- Modifications to existing National and Sub-national Urban Legal Framework
The Action Plan block aims to review and integrate all the components of Phase 3 Operationalisation into an Action Plan Matrix, which is the key instrument for the Plan implementation.

46. City Action Planning Workshop
   ☯ participatory
   ① 1 week

47. Public Hearing and Presentation of the Action Plan
   ☯ participatory
   ① 1 week
Review all the components that need to be defined for the plan operationalisation by the advisory and steering committee and other key stakeholders, to find alliances but also to get external and expert feedback. Consolidate the final Action Plan matrix.

**Objective**

Present the Action Plan Matrix to civil society and consolidate comments and feedback.

**Results**

- Action Plan Matrix

- Validated Action Plan Matrix
How do we execute the projects and plan?

Once the urban plan is adopted as a legally bound document, the implementation phase aims to put in place all the mechanisms needed to execute the strategic actions and projects of the plan, as well as guide the future urban development.
The strategic development plan is core to any planning process and aims to define a shared vision of the city for a specific time-frame, based on the challenges and opportunities identified and the guiding document’s objective. It follows a participatory process involving key stakeholders such as government, experts, and civil society, to identify the main issues, to define a vision, to develop the goals necessary to achieve that vision, and the monitoring framework to access the process. The vision and goals are supported by a list of target indicators related to the global, national, and local agreements on sustainable urban development.

This block also proposes a spatialized conceptual structure to identify the skeleton of the city, based on the city boundary, connectivity scheme, and the poles of attraction. It sets a spatial strategy with the transformation and consolidation areas and the catalytic and strategic projects. This block’s output sets an implementation strategy to address investments and resources and monitor individual projects’ impact.

48. Project Management

49. Implementation Work Plan

50. Resources Mobilisation

51. Plan Approval
Establish all the actions needed to implement the plan’s projects, such as the coordination with partners, departments, agencies, and institutions and specific tasks. Organise a kick-off meeting in order to coordinate with relevant projects and initiatives that spatially overlap or adjoin, and synergy on the shared working area.

Objective

Define a work plan to map out the entire process of the plan and projects’ implementation, with defined steps, phases, and milestones, such as a major reporting date, completion time, meeting nodes, public events, participation activities, etc. Predict outcomes, expenditures, and probable risks, as well as preparing backup plans in the case of a problem to execute.

Objective

To make the best use of the agencies’ existing and potential resources, both internal and external (foundations, private sector, etc.), by providing financial and other resources to assure the project’s completion.

Objective

Have the plan approved by the responsible governmental authorities, according to the local legal and administrative requirements. This might include public consultation, internal approval and approval by the municipality’s council or government entity.
Develop and establish the mechanisms to guarantee the sustainability of the planning process and the plan’s implementation, such as mechanisms to monitor, evaluate, and report on the plan and projects’ progress.

52. Monitoring and Evaluation
   - participatory
   - 1 week

53. Advocacy, Feedback and Learning Mechanisms
   - participatory
   - 1 week

54. Incremental Improvements
   - participatory
   - 1 week
Develop the mechanisms to monitor, evaluate, and report on the plan and projects’ progress, in order to build accountability frameworks and evaluate impact.

- Monitoring Matrix of indicators

**Objective**

Develop and establish mechanisms to guarantee the sustainability of the planning process, such as advocacy measures and mechanisms to gather feedback from stakeholders and the community.

- Communication strategy for the plan implementation, which might include a public participation website, brochure/flyers of the projects, interactive account on social media,

**Objective**

Map and incorporate learnings to adjust the urban planning process, to improve the approach and process for future plan developments.

- Learnings and feedback from the urban planning process
- Adjusted urban planning process
- Capacity building activities

**Objective**

The Monitoring and Evaluation consists of a continuous exercise to assess the performance of the plan goals, strategies and projects. In this activity, the technical team will develop a matrix to monitor, evaluate and report continuously on the phases of the plan and the projects’ development, implementation and impact.

**Description**

Advocacy, Feedback and Learning Mechanisms

**Results**

- Communication strategy for the plan implementation, which might include a public participation website, brochure/flyers of the projects, interactive account on social media,
T1 List of minimum required expertise and partners
T2 Urban legislation assessment
T3 Matrix of references
T4 Financial assessment guide
T5 Financial mechanisms catalogue
T6 Self-assessment guide
T7 Workshop checklist
T8 Work Plan Template
T9 Guiding document template
T10 Environmental and Social Screening Report Template
T11 Environmental and Social Development Impact Plan (DIP Template)
T12 Stakeholders' mapping
T13 Participation Plan Guide
T14 Desk and field research - Maps & Data checklist
T15 Matrix of functions (MoF)
T16 Participatory Incremental Mapping (PIM)
T17 Climate Impact Chain Diagram
T18 Analysis and diagnostics - Map & Data Checklist
T19 Urban expansion projections
T20 Climate Vulnerability Assessment

T21 S.W.O.T. Analysis
T22 Strategic development scenarios template
T23 Constraints, Challenges and Opportunity, and Suitability Maps
T24 Strategic visioning workshop guide
T25 Monitoring and evaluation framework
T26 Thematic issues checklist
T27 Spatialisation of the Strategic Vision Workshop
T28 Sustainable Development Structure Guide
T29 Spatial Strategies Guide
T30 Environmental and Social Scoping Report
T31 Environmental and Social Action Plan Template
T32 Strategic and Catalytic Projects Workshop
T33 Project Priorisation Template
T34 Adaptation Options Identification
T35 Preliminary Financial Plan Template
T36 Compatibility of Functions Guide
T37 Smart Mixed-Use Planning Tool
T38 Detailed Data Gathering and Analysis
T39 Neighbourhood Planning Workshop Guide
T40 Preliminary Estimation of Costs Template

Remember that all the Tools are available in a digital format in each activity description.
**Description** This tool helps define the technical project team members. For the project to be successful, the team needs to fulfil at least the minimum required roles. If there are available resources, it is recommended to include additional expertise and roles.

**Participants** This task is carried out by the person responsible for building the technical planning team (planning director, project lead, human resources staff, etc.).

**Instructions**

*Using the list below, write down the name of the person who will fulfil each role. Remember that one person can adopt various positions or you may need more people responsible for the same tasks, depending on the complexity of the project and available resources. Define if the staff will be internal to the organisation/institution or if any new hires or partners are needed.*

**Minimum required expertise.** Members who fulfil these roles make up the technical planning team.

<table>
<thead>
<tr>
<th>Role</th>
<th>(Name/ contact)</th>
<th>Description</th>
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<tbody>
<tr>
<td><strong>Project lead</strong></td>
<td></td>
<td>Will lead the overall planning process and provide guidance to the team members. The lead is aware of the activities and deliverables in progress and will drive communications with higher-level authorities and/or external organisations.</td>
</tr>
<tr>
<td><strong>Project management</strong></td>
<td></td>
<td>Will drive and monitor the management process and make sure the team achieves the objectives and deliverables on time. Is responsible for the budget, achieving deadlines, and involving all the identified stakeholders.</td>
</tr>
<tr>
<td><strong>Urban planning</strong></td>
<td></td>
<td>Will guide the technical development of the project. Will prepare plans and studies, create and interpret maps and diagrams, develop policy guidelines and recommendations, conduct participatory activities with the stakeholders and community, and process the data gathered to inform the planning project.</td>
</tr>
<tr>
<td><strong>Urban design and architecture</strong></td>
<td></td>
<td>Will conduct the physical design of the project. Will develop the design concepts, and the site, architecture and construction plans. This person has expertise on architecture and design software (Autocad, Revit, Adobe, etc.).</td>
</tr>
<tr>
<td><strong>Spatial analysis</strong></td>
<td></td>
<td>Will conduct the spatial analysis of the project. Will identify and process geospatial datasets, elaborate maps using Geographic Information Systems (GIS) software, and translate the analysis into findings and reports.</td>
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**Ideal additional expertise.** These members will provide additional expertise and can serve as external on-demand support.

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<tr>
<th>Role</th>
<th>(Name/ contact)</th>
<th>Description</th>
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<tbody>
<tr>
<td><strong>Urban economy</strong></td>
<td></td>
<td>Will perform urban economic analysis, economic modelling, and demographic analysis. Will develop strategies on issues such as local economic development, spatial agglomeration, demographic and economic trends, integrated land use, urban infrastructure and transportation, housing, and local government finance.</td>
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**T1 List of Minimum Required Expertise and Partners**

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<thead>
<tr>
<th>Role</th>
<th>Description</th>
<th>(Name/ contact)</th>
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<tbody>
<tr>
<td><strong>Urban legislation</strong></td>
<td>Will guide the compliance of planning policies, regulations, and guidelines established in the urban area of study and facilitate the legal aspect of the planning process.</td>
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<tr>
<td><strong>Participatory processes expert</strong></td>
<td>Will provide expertise on designing and implementing participatory processes, strategies and activities, incorporating and engaging different stakeholders.</td>
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<tr>
<td><strong>Communications expert</strong></td>
<td>Will provide expertise on designing and implementing the communication strategy, creating engaging content to connect with diverse stakeholders, and promoting the urban planning process through different media.</td>
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<tr>
<td><strong>Risk reduction and climate planning</strong></td>
<td>Will provide expertise on urban resilience, risk reduction actions, and climate adaptation and mitigation strategies.</td>
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<tr>
<td><strong>Housing</strong></td>
<td>Will provide expertise on housing and inclusive community development at different urban scales.</td>
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<tr>
<td><strong>Transport and mobility</strong></td>
<td>Will provide expertise on transportation systems and sustainable urban mobility strategies.</td>
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<tr>
<td><strong>Social inclusion</strong></td>
<td>Will provide expertise on inclusive policies, engagement of vulnerable groups, social housing, inclusive slum regeneration strategies and fair land management regulations.</td>
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<tr>
<td><strong>Other expertise</strong></td>
<td></td>
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</table>
T2 Urban Legislation Assessment

**Description** This tool helps understand the legal planning framework and background, and identify the legal requirements for the plan approval. For a full legislation assessment, use the Planning Law Assessment Framework developed by UN-Habitat.

**Participants** This task is carried out by the preliminary technical team.

**Instructions**

1. **Gather and review the existing planning documents at the national, regional and metropolitan scale.**

Planning documents can be laws, ordinances, policies, plans, spatial visions, strategies, tools, institutional and participatory mechanisms and regulatory procedures, articulated into different scales or topics. However, what they look like varies according to the planning scale with their different functions and competences.

**Planning instruments identification (national, regional and metropolitan scale)**

- What are the existing planning documents at different planning scales? What is the objective of each one? These are some examples:
  - Building codes
  - Taxation laws
  - Building permits
  - Land subdivision code
  - Zoning code
  - Heritage policy
  - Housing policies
  - Disaster risk management plans
  - Climate action plans
  - Climate adaptation plans

- What institution is in charge of approving, implementing, updating, and regulating each planning document?

- Are there existing national/regional/metropolitan urban development plans? Are they legally binding? What do they recommend for the local context?

2. **Discuss the following questions to understand the urban legislation at the local scale.**

**Local legislation assessment**

- What are the local administrative boundaries? Use a map to analyse and understand the political and territorial boundaries.

- Does the city possess a cadastre? (The land parcel of the cadastre is the basic spatial unit used for land registration. Cadastral systems have traditionally supplied spatial information for land administration, spatial planning, billing for cost recovery from services, etc.)

- Are there ongoing processes of city and/or municipal urban development plans? Provide general information of this process and why it is not finalised and the status of the plans.
2. Discuss the following questions to understand the urban legislation at the local scale.

1. Gather and review the existing planning documents at the national, regional and metropolitan scale.

Instructions

T2 Urban Legislation Assessment

Participants

Framework

Local legislation assessment

Planning instruments identified

Planning documents

- Description

- What institution is in charge of approving, implementing, updating, and regulating each planning document?
- Are there existing national/regional/metropolitan urban development plans? Are they legally binding? What do they recommend for the local context?
- Does the city possess a cadastre? (The land parcel of the cadastre is the basic spatial unit used for land administration, spatial rights, building codes, land-based finance, etc.) Complete the following information:
  - Date of promulgation: ...........................................  
  - Timelapse of planning/legal time for review: ..................
  - Does it include an urban perimeter? .........................  
  - Is the built-up area exceeding the urban perimeter? ........
  - Is the urban perimeter still large enough to contain the urbanisation? ......................................................

List of the current land use categories:

- Climate action plans
- Disaster risk management plans
- Housing policies
- Heritage policy
- Zoning code
- Land subdivision code
- Building permits
- Taxation laws
- Building codes

These are some examples:

What are the minimum components required in a plan?

○ National and regional policies alignment (coherence between plans)
○ National/regional and local institutions that need to be involved in the process
○ Mandatory participation processes
○ Required impact assessments (social, environmental, economical, etc.)
○ What are the steps to achieve the planning document approval?
○ What are the minimum components required in a plan?

3. Discuss and answer the following regulatory framework checklist.

Legal requirements for plan approval

- Which institutional body/ies is/are responsible for approving and/or developing local plans?
- What are the requirements for the planning document approval? Keep in mind:
  - National and regional policies alignment (coherence between plans)
  - National/regional and local institutions that need to be involved in the process
  - Mandatory participation processes
  - Required impact assessments (social, environmental, economical, etc.)
  - What are the steps to achieve the planning document approval?
  - What are the minimum components required in a plan?
**Description** This matrix is a guide to gather existing data to generate the major agreements and conventions regarding sustainable urban development and urban planning, to support the analysis of the city and the plan development.

**Participants** This activity is carried out by the technical team, the advisory committee and the steering committee.

**Instructions**

**International agendas and frameworks:**

International agenda, agreements and frameworks are documents globally endorsed by member states and it can guide the achievement of sustainable development. However, what they look like varies according to the planning scale with their different functions and competencies.

1. **Review the International Agendas and frameworks endorsed at the country level**

<table>
<thead>
<tr>
<th>International Agendas identification</th>
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</thead>
<tbody>
<tr>
<td>Which International Agendas are you familiar with?</td>
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<tr>
<td>□ Paris Agreement</td>
</tr>
<tr>
<td>□ 2030 Agenda for Sustainable Development (SDGs)</td>
</tr>
<tr>
<td>□ Addis Ababa Action Agenda</td>
</tr>
<tr>
<td>□ Sendai Framework</td>
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<tr>
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</tr>
<tr>
<td>□ New Urban Agenda</td>
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<tr>
<td>□ Other agendas: ………………………………………………</td>
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<td>□ Other agendas: ………………………………………………</td>
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</table>

What are the locality responsibilities?

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Planning document recognized by the law at the local scale (if it applies):

..........................................................................................................................................................
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Which institutional body/ies is/are responsible/s for approving local plans?

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2. Review the National agenda and frameworks for sustainable development

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<td>What are the UNDAF/ UNPAF pillars?</td>
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<tr>
<td>What are the HCPD pillars or UN-Habitat Country Office priorities?</td>
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<tr>
<td>SDGs prioritised at the National Level</td>
</tr>
<tr>
<td>What are the Measurable SDGs prioritised in the country and reported by the Voluntary National Reviews (VNR)?</td>
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<td>………………………………………………………………………………………………………………………</td>
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<tr>
<td>Are there other regional or national development frameworks in use? (e.g. City Prosperity Index) What are the main pillars and priorities?</td>
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</tr>
</tbody>
</table>
**Description** This guide aims to identify the funds available by the municipality. The resources that can be allocated to the elaboration of the plan are calculated based on the revenue and expenditure streams.

**Activity lead** This task is carried out by the person or group of people who have knowledge and expertise on the municipality's finances, including sources of revenue and expenditure.

**Link** [To download/copy this tool as a spreadsheet](#)

### Instructions

1. **Fill in the information in the table below.** Some data may not be available, or there may be other sources of revenue/expenditure that are not included. These should be added in the "Other" rows.

### REVENUE

#### Summary Statistics of Revenue

<table>
<thead>
<tr>
<th>Total Revenue</th>
<th>Total OSR + Total Central Government Transfers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Revenue per Capita</td>
<td>$(Total Revenue / Population)$</td>
</tr>
<tr>
<td>Total Central Government Transfers</td>
<td></td>
</tr>
<tr>
<td>Total Own Source Revenue</td>
<td></td>
</tr>
</tbody>
</table>

| Central Government Transfers % of Total Revenue | $([Central Government Transfers / Total Revenue] *100)$ |
| Own Source Revenue (OSR) % of Total Revenue | $([Own Source Revenue / Total Revenue] *100)$ |

<table>
<thead>
<tr>
<th>Breakdown of Own Source Revenue</th>
<th>Total</th>
<th>% of Total OSR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Property-related taxes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Asset-related revenue</td>
<td></td>
<td></td>
</tr>
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<tr>
<td>Tariff-related taxes</td>
<td></td>
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<tr>
<td>Other:</td>
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<td></td>
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<tr>
<td>Other:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Own Source Revenue</th>
<th>100%</th>
</tr>
</thead>
</table>
Description
This tool helps define the technical project team members. For the project to be successful, the team needs to fulfil at least the minimum required roles. If there are available resources, it is recommended to include additional expertise and roles.

Participants
This task is carried out by the person responsible for building the technical planning team (planning director, project lead, human resources staff, etc.).

Instructions

Using the list below, write down the name of the person who will fulfil each role. Remember that one person can adopt various positions or you may need more people responsible for the same tasks, depending on the complexity of the project and available resources. Define if the staff will be internal to the organisation/institution or if any new hires or partners are needed.

Minimum required expertise. Members who fulfil these roles make up the technical planning team.

**Project lead** ...........................................................................................................(Name/ contact)
Will lead the overall planning process and provide guidance to the team members. The lead is aware of the activities and deliverables in progress and will drive communications with higher-level authorities and/or external organisations.

**Project management** ...................................................................................................(Name/ contact)
Will drive and monitor the management process and make sure the team achieves the objectives and deliverables on time. Is responsible for the budget, achieving deadlines, and involving all the identified stakeholders.

**Urban planning** .......................................................................................................(Name/ contact)
Will guide the technical development of the project. Will prepare plans and studies, create and interpret maps and diagrams, develop policy guidelines and recommendations, conduct participatory activities with the stakeholders and community, and process the data gathered to inform the planning project.

**Urban design and architecture** .....................................................................................(Name/ contact)
Will conduct the physical design of the project. Will develop the design concepts, and the site, architecture and construction plans. This person has expertise on architecture and design software (Autocad, Revit, Adobe, etc.).

**Spatial analysis** ...........................................................................................................(Name/ contact)
Will conduct the spatial analysis of the project. Will identify and process geospatial datasets, elaborate maps using Geographic Information Systems (GIS) software, and translate the analysis into findings and reports.

Ideal additional expertise. These members will provide additional expertise and can serve as external on-demand support.

**Urban economy** ...........................................................................................................(Name/ contact)
Will perform urban economic analysis, economic modelling, and demographic analysis. Will develop strategies on issues such as local economic development, spatial agglomeration, demographic and economic trends, integrated land use, urban infrastructure and transportation, housing, and local government finance.
**T1 List of Minimum Required Expertise and Partners**

<table>
<thead>
<tr>
<th>Expertise</th>
<th>Contact/Name</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Urban legislation</strong></td>
<td></td>
</tr>
<tr>
<td>Will guide the compliance of planning policies, regulations, and guidelines established in the urban area of study and facilitate the legal aspect of the planning process.</td>
<td></td>
</tr>
<tr>
<td><strong>Participatory processes expert</strong></td>
<td></td>
</tr>
<tr>
<td>Will provide expertise on designing and implementing participatory processes, strategies and activities, incorporating and engaging different stakeholders.</td>
<td></td>
</tr>
<tr>
<td><strong>Communications expert</strong></td>
<td></td>
</tr>
<tr>
<td>Will provide expertise on designing and implementing the communication strategy, creating engaging content to connect with diverse stakeholders, and promoting the urban planning process through different media.</td>
<td></td>
</tr>
<tr>
<td><strong>Risk reduction and climate planning</strong></td>
<td></td>
</tr>
<tr>
<td>Will provide expertise on urban resilience, risk reduction actions, and climate adaptation and mitigation strategies.</td>
<td></td>
</tr>
<tr>
<td><strong>Housing</strong></td>
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<tr>
<td>Will provide expertise on housing and inclusive community development at different urban scales.</td>
<td></td>
</tr>
<tr>
<td><strong>Transport and mobility</strong></td>
<td></td>
</tr>
<tr>
<td>Will provide expertise on transportation systems and sustainable urban mobility strategies.</td>
<td></td>
</tr>
<tr>
<td><strong>Social inclusion</strong></td>
<td></td>
</tr>
<tr>
<td>Will provide expertise on inclusive policies, engagement of vulnerable groups, social housing, inclusive slum regeneration strategies and fair land management regulations.</td>
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</tr>
<tr>
<td><strong>Other expertise</strong></td>
<td></td>
</tr>
<tr>
<td>(Expertise)</td>
<td>(Contact/Name)</td>
</tr>
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### T2 Urban Legislation Assessment

**Description** This tool helps understand the legal planning framework and background, and identify the legal requirements for the plan approval. For a full legislation assessment, use the Planning Law Assessment Framework developed by UN-Habitat.

**Participants** This task is carried out by the preliminary technical team.

**Instructions**

1. **Gather and review the existing planning documents at the national, regional and metropolitan scale.**

   **Planning documents** can be laws, ordinances, policies, plans, spatial visions, strategies, tools, institutional and participatory mechanisms and regulatory procedures, articulated into different scales or topics. However, what they look like varies according to the planning scale with their different functions and competences.

   **Planning instruments identification (national, regional and metropolitan scale)**

   - What are the existing planning documents at different planning scales? What is the objective of each one? These are some examples:
     - Building codes
     - Taxation laws
     - Building permits
     - Land subdivision code
     - Zoning code
     - Heritage policy
     - Housing policies
     - Disaster risk management plans
     - Climate action plans
     - Climate adaptation plans
   - What institution is in charge of approving, implementing, updating, and regulating each planning document?
   - Are there existing national/regional/metropolitan urban development plans? Are they legally binding? What do they recommend for the local context?

2. **Discuss the following questions to understand the urban legislation at the local scale.**

   **Local legislation assessment**

   - What are the local administrative boundaries? Use a map to analyse and understand the political and territorial boundaries.
   - Does the city possess a cadastre? (The land parcel of the cadastre is the basic spatial unit used for land registration. Cadastral systems have traditionally supplied spatial information for land administration, spatial planning, billing for cost recovery from services, etc.)
   - Are there ongoing processes of city and/or municipal urban development plans? Provide general information of this process and why it is not finalised and the status of the plans.
T2 Urban Legislation Assessment

- Are there existing city and/or municipal urban development plans (strategic plan/structure plan/masterplan)? These can include technical content such as land and urban planning, affordable housing policies, possibility for land-use changes, public space requirements, plots and blocks consolidation and readjustment, development rights, building codes, land-based finance, etc. Complete the following information:

  Date of promulgation: ...........................................
  Timelapse of planning/legal time for review: .................
  Does it include an urban perimeter? ..........................
  Is the built-up area exceeding the urban perimeter? ........
  Is the urban perimeter still large enough to contain the urbanisation? .................................................................

List of the current land use categories:

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What are the gaps and discrepancies of the plan? What is missing compared to the current issues the city is facing?

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3. Discuss and answer the following regulatory framework checklist.

**Legal requirements for plan approval**

- Which institutional body/ies is/are responsible for approving and/or developing local plans?
- What are the requirements for the planning document approval? Keep in mind:
  - National and regional policies alignment (coherence between plans)
  - National, regional and local institutions that need to be involved in the process
  - Mandatory participation processes
  - Required impact assessments (social, environmental, economical, etc.)
  - What are the steps to achieve the planning document approval?
  - What are the minimum components required in a plan?
T3 Matrix of References

**Description** This matrix is a guide to gather existing data to generate the major agreements and conventions regarding sustainable urban development and urban planning, to support the analysis of the city and the plan development.

**Participants** This activity is carried out by the technical team, the advisory committee and the steering committee.

**Instructions**

**International agendas and frameworks:**
International agenda, agreements and frameworks are documents globally endorsed by member states and it can guide the achievement of sustainable development. However, what they look like varies according to the planning scale with their different functions and competencies.

1. **Review the International Agendas and frameworks endorsed at the country level**

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<td>☐ Other agendas: ..................................................</td>
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What are the locality responsibilities?

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Planning document recognized by the law at the local scale (if it applies):

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Which institutional body/ies is/are responsible/s for approving local plans?

...........................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................................
2. Review the National agenda and frameworks for sustainable development

<table>
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<th>National Agendas Identification</th>
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<tr>
<td>Are there other regional or national development frameworks in use? (e.g. City Prosperity Index) What are the main pillars and priorities?</td>
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</table>
**T4 Financial Assessment Guide**

**Description** This guide aims to identify the funds available by the municipality. The resources that can be allocated to the elaboration of the plan are calculated based on the revenue and expenditure streams.

**Activity lead** This task is carried out by the person or group of people who have knowledge and expertise on the municipality's finances, including sources of revenue and expenditure.

**Link** [To download/copy this tool as a spreadsheet](#)

**Instructions**

1. Fill in the information in the table below. Some data may not be available, or there may be other sources of revenue/expenditure that are not included. These should be added in the "Other" rows.

### REVENUE

#### Summary Statistics of Revenue

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<thead>
<tr>
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<tbody>
<tr>
<td>Total OSR + Total Central Government Transfers</td>
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<tr>
<td>Total Revenue per Capita</td>
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<td></td>
</tr>
<tr>
<td>Total Own Source Revenue</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Central Government Transfers % of Total Revenue |  |  |
| ([Central Government Transfers / Total Revenue] *100) |  |  |
| Own Source Revenue (OSR) % of Total Revenue |  |  |
| ([Own Source Revenue / Total Revenue] *100) |  |  |

#### Breakdown of Own Source Revenue

<table>
<thead>
<tr>
<th>Property-related taxes</th>
<th>Total</th>
<th>% of Total OSR</th>
</tr>
</thead>
<tbody>
<tr>
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<tr>
<td>Other:</td>
<td></td>
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<tr>
<td>Other:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Total Own Source Revenue 100%
# T4 Financial Assessment Guide

## EXPENDITURE

### Summary Statistics of Expenditure

<table>
<thead>
<tr>
<th>Total Expenditure</th>
<th>Total Breakdown of Expenditure + Cost of Revenue Collections</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Annual average expenditure (in the past 5 years)</td>
</tr>
<tr>
<td></td>
<td>% of Annual budget covered by current revenue</td>
</tr>
<tr>
<td></td>
<td>![Annual budget / Total Revenue] *100)</td>
</tr>
<tr>
<td></td>
<td>Cost of Revenue Collections</td>
</tr>
</tbody>
</table>

### Breakdown of Expenditure

<table>
<thead>
<tr>
<th></th>
<th>Total</th>
<th>% of Total OSR</th>
</tr>
</thead>
<tbody>
<tr>
<td>Debt-service</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public Transit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Roads</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sanitation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Waste Management</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Water</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Energy</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communications</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Safety / Security</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Criminal Justice</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Health</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Housing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Admin</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Expenses</td>
<td></td>
<td>100%</td>
</tr>
</tbody>
</table>

2. **Map the possible gaps and challenges to finance and fund the urban planning process, as well as the long-term implementation of the plan and projects. Then map possible mitigation measures and actions.**

3. **Calculate the budget available for the elaboration of the plan based on the financial balance (Total Revenue - Total Expenditure).**

## Budget

<table>
<thead>
<tr>
<th>Annual budget for current year</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Budget available for the elaboration of the plan/project</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total revenue - Total expenditure</td>
</tr>
</tbody>
</table>
Description: This tool aims to provide a catalogue of potential financial mechanisms to review before the plan development, and assess and evaluate what are the best options according to the local context.

Activity lead: This task is carried out by the technical team and the person or group of people who have knowledge and expertise on the municipality’s finances.

Instructions

1. Review the following catalogue of financial mechanisms, their characteristics and considerations.

### OWN-SOURCE REVENUE

<table>
<thead>
<tr>
<th>Description</th>
<th>Considerations</th>
<th>Periodicity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recurring taxes on land and buildings</td>
<td>● Most commonly collected on a yearly basis; ● The related Enabling Law defines: - who is responsible for the payment; - what is the object of the taxation; - possible exemptions; - meaning of taxable value; ● Consider the legal and administrative capacities for collection.</td>
<td>Recurrent</td>
</tr>
<tr>
<td>Recurrent taxation on property, which establishes an on-going revenue stream for the city.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Betterment charges</td>
<td>● Determine the area benefitting from the improvements; ● Calculate the increase in land value per parcel after the intervention ● Consider landowner engagement and cooperation ● Have a clear communication plan in terms of the benefits and improvements ● Consider mechanisms to collect betterment charges over a longer period of time, making it easier for taxpayers.</td>
<td>One-time / Recurrent over a defined period of time</td>
</tr>
<tr>
<td>Charges associated with the benefit resulting from specific infrastructure improvements.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Developer exactions</td>
<td>● Paid by the party who is making the request; ● Calculated on either the estimated market value of the development size; ● Normally used to address the impact of new infrastructure or improvements to the existing one.</td>
<td>One-time</td>
</tr>
<tr>
<td>Fee applied to the approval of additional developments or the release of building permits.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Land value increment taxes</td>
<td>● Not aimed to recover the cost of specific interventions/infrastructure or service improvements. ● Applied for land-use changes, change in density (building or residential -number of floors or</td>
<td>One-time</td>
</tr>
</tbody>
</table>
### T5 Financial Mechanisms Catalogue

<table>
<thead>
<tr>
<th>Description</th>
<th>Considerations</th>
<th>Periodicity</th>
</tr>
</thead>
</table>
| Sale of development rights                                                 | • Applied to areas in which there is demand for more intensive/additional developments;  
  • Used to manage, control and encourage the growth in specific areas;  
  • A market for the land must exist to guarantee a higher success rate;  
  • Administrative and technical capacity to implement these types of rights. | One-time     |
| Land leases and sale of public lands                                       | • Evaluate that the public land will not be needed in the future;  
  • Transparent process and public consultation. | One-time/annual |
| Government sells or leases the land to transform an asset into revenue for  |                                                                                   |              |
| high-investment long-term public projects. Leases can be one-time or annual |                                                                                   |              |
| charges.                                                                   |                                                                                   |              |
| Transfer taxes                                                             | • Normally corresponds to a percentage of the total property value;  
  • Destined to fund the land registration system;  
  • Notary fees or other fixed costs related to the transfer are not included. | One-time     |
| Tax in respect of the conveyance of the title to land rights from one party  |                                                                                                                                 |              |
| to another.                                                                |                                                                                                                                 |              |
| EXTERNAL FINANCING                                                         |                                                                                                                                 |              |
| Funds obtained from agencies, organisations and/or private entities that are |                                                                                   |              |
| not part of the local government.                                           |                                                                                   |              |
| **Description**                                                            |                                                                                   |              |
| **Considerations**                                                         |                                                                                   |              |
| **Periodicity**                                                            |                                                                                   |              |
| Domestic credits/loans                                                      | To be prioritised over international credits because they are:  
  • provided in local currency;  
  • more accessible to local governments. | One time     |
| Loans provided by local financial institutions or public debt provided by   |                                                                                   |              |
| an institution of a higher hierarchy to the municipality, such as the       |                                                                                   |              |
| national government.                                                        |                                                                                   |              |
| International credits/loans                                                | More complex processes in terms of project preparation requirements and duration;  
  • Usually not directly provided to the local government, but to the national government which offers payment guarantees. | One time     |
| Loans provided by Multilateral Development Banks, normally provide a low   |                                                                                   |              |
| interest rate and longer payment terms. They entail currency risks because   |                                                                                   |              |
| the loan is generally in international currency but the revenues in local   |                                                                                   |              |
| currency.                                                                  |                                                                                   |              |
| Private capital investments                                                | Investment paid over time by the final user (e.g. tolls)  
  • Type of investment recommended when the involvement of the private sector will entail a  
    knowledge, technology, management systems transfer. | One time     |
<p>| Different modalities of Public Private Partnerships (PPP) in which the     |                                                                                   |              |
| private sector invests in public infrastructure and services by leading    |                                                                                   |              |
| its execution, operation and/or service provision (e.g. road infrastructure).|                                                                                   |              |</p>
<table>
<thead>
<tr>
<th>Thematic Area</th>
<th>Description</th>
<th>Considerations</th>
<th>Periodicity</th>
</tr>
</thead>
</table>
| Green Bonds   | The proceeds are invested exclusively in projects that produce environmental benefits, such as the development of Nature-based Solutions and the ecosystem services that are provided by them. Green bonds are issued by private or public stakeholders committed to pay in the future with a fix or variable rate of return, allowing financial viability for present projects. | • Consider the capacities of the entity that issues the bond, which will need to establish procedures for tracking and reporting on the use of proceeds.  
• Principles and standards exist that help evaluate if an asset or project can be qualified as green (e.g. Green Bond Principles, Climate Bonds Taxonomy, Climate Bonds Standard and Certification Scheme).  
• Certification of green and climate bonds can improve confidence and transparency, which in turn helps attract investors looking for green investments. | One time |
| Carbon Finance | Where climate actions include a GHG mitigation benefit (e.g. waste management that captures methane), carbon markets through carbon offsets can be used to leverage private and public funding. Action supported through carbon finance must account for measurable, reportable and verifiable GHG emission reduction. | • When a project is capable of creating quantifiable community and biodiversity benefits, these can increase the value of carbon offsets through certified sustainable development standards and increase their access to carbon markets.  
• Aggregating technological options at the city level can help achieve a scale of emission reductions that is necessary to access carbon markets. | Recurrent over a defined period of time |

**Climate action**

Climate funds, foundations, charities and non-profit organisations:

Many international climate funds (e.g., [Green Climate Fund](https://www.greenclimate.org/), [Global Environment Facility](https://www.gefd.org/), [Global Climate Partnership Fund](https://www.globalclimatepartnership.org/), etc.), philanthropic foundations and charities, non-profit organisations (e.g., [ICLEI](https://www.iclei.org/)) operate grant programmes. There are also regional and national funds destined exclusively to address climate change issues in specific countries. (e.g. [Amazon Fund](https://www.amazonfund.org/), National Climate Change Trust Funds). While many are linked to associated climate change planning support programmes, there are also some opportunities to fund smaller-scale actions.

**Insurance:**

Insurance programs can help transfer and reduce climate change risks. The main objective of insurance is to ensure financial and fiscal resilience in

• Consider insurance as part of the local resilience strategy to accelerate investments in climate adaptation actions and to address the need for rapid

<p>| | | | |
| | | | |
| | | | |</p>
<table>
<thead>
<tr>
<th>Financial Mechanism Identification</th>
</tr>
</thead>
</table>

Select the financial mechanisms that would be possible and most appropriate to use in the project financing, according to the legal and financial resources review (A2) Map and keep in mind the specific requirements and needs in order to implement each one.

- Recurring taxes on land and buildings
- Developer exactions
- Land value increment taxes
- Sale of development rights
- Land leases and sale of public lands
- Transfer taxes
- Domestic credits/loans
- International credits/loans
- Private capital investments
- Other: ........................................................................................................................................

---

2. Reflect on which financial mechanisms could be implemented to finance the project plan and projects, using the following guiding questions.

- Parametric insurance, which provides a payout based upon a trigger event, is well suited to cities because the diverse mix of infrastructure and other assets of the urban context may be too complex to underwrite and insure via standard risk pool arrangements.

<table>
<thead>
<tr>
<th>Land-based financing for climate action</th>
</tr>
</thead>
</table>

There are numerous financial mechanisms for climate adaptation that derive from the sustainable management of ecosystem services and green spaces. These can fall under the category of land-based financing tools for climate action, which include land value capture mechanisms (LVC) or property, income and sale taxes. These mechanisms can help pay for urban infrastructure investments related to climate change mitigation and adaptation.

- Land-based financing can be applied at different scales, including the building scale (e.g. charges on building rights) and the neighbourhood/district scale (e.g. business improvement districts). Recurrent
Use the following guiding questions to identify the most suitable financial mechanism(s):

**Regulatory and legal frameworks:**
- Considering the current fiscal systems and legal frameworks, what instruments can be implemented according to the law?
- What financial mechanisms are already in place and working in the Municipality?
- What reforms would have to be carried out in order to implement specific financial mechanisms? How feasible is it to carry out such reforms?

**Administrative capacities and local context:**
- How are taxes currently collected and managed?
- What are the existing institutional arrangements between local and central government?
- What are the land market conditions in the areas where the plan will be implemented?

**Budget/available funds and implementation times:**
- What is the estimated duration of the implementation of the plan? Will there be long term costs to cover?
- Are there existing funds destined to cover part of the plan and project costs?
- Would it be necessary to find a financial mechanism to cover future maintenance costs?
- Could the plan foresee profitable activities?

**Access to credit:**
- What is the credit capacity of the municipality?
- What are the regulations and requirements to access local and international credit?

**Projects and thematic areas:**
- What are the types of projects and actions that could result from the planning process? Are there specific thematic areas that the plan is focusing on, for which specific financial mechanisms could be used?
- Are there projects in specific thematic areas that are aligned to existing national and international funds (climate change, housing, transport, etc.)? What are the requirements to apply for these funds?

**Revenue opportunities:**
- Which interventions foreseen by your plan might generate revenues?

**Tip:** Keep in mind the following considerations when defining the financial mechanisms:
- Recurrent revenues might be useful in case of long term planning, when expenses are distributed along a longer period of time.
- A combination of one time charges and recurrent revenues might be helpful in case there is a higher chance of unexpected additional costs.
- One-time charges could be more practical in situations in which it is necessary to reach the full budget in a short period of time.
- External sources of revenue such as loans and credits are more appropriate for longer term and high cost projects.
**Description** This tool aims to support the definition of activities to be carried out in the urban planning process. Different aspects should be considered to ensure a sustainable process, aligned with the objectives, the internal capacities, and resources of the municipality in terms of time, budget, territorial ownership, availability of expertise, etc.

**Participants** This task is carried out by the person responsible for building the technical planning team, the preliminary technical team, representatives of the local government, potential key stakeholders, and partners.

---

**Section 1. Context of the urban planning process**

It is important to start by having a clear project objective, as planning processes can have different goals: develop a statutory plan, focus on a detailed plan, or implement an existing plan. The following questionnaire will help the technical team define the project objectives, considering the intention of the local government and the work that has been already developed. Once the questionnaire is completed, it will be possible to define which blocks of this toolbox should be fulfilled.

**Instructions**

1. **Discuss and answer the following questions with the technical team.**

<table>
<thead>
<tr>
<th>How big is your city?</th>
<th>Total Population (number)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>..................................................................................</td>
</tr>
<tr>
<td>Urban Population (number)</td>
<td>..................................................................................</td>
</tr>
<tr>
<td>Extension (square kilometre)</td>
<td>..................................................................................</td>
</tr>
<tr>
<td>Strategic role at the regional/national scale (low, medium, high)</td>
<td>..................................................................................</td>
</tr>
</tbody>
</table>

Is there an urban planning department in your local government? (yes, no)

*Describe the structure/organogram of the institution responsible to planning process:*

......................................................................................................................................................................................................................................................................................................................................................................................

......................................................................................................................................................................................................................................................................................................................................................................................

......................................................................................................................................................................................................................................................................................................................................................................................

What is the main objective of the planning process?

- ☐ Develop a new plan: ☐ strategic spatial plan ☐ statutory or land-use plan ☐ neighbourhood plan
- ☐ Assess, update and/or review an existing plan
- ☐ Elaborate a specific component of the urban planning process: .............................................
- ☐ Operationalise the projects of an existing plan
- ☐ Implement an existing plan
- ☐ Align a plan with international urban planning framework
- ☐ Integrate a cross-cutting topic to a plan
  - ☐ Stakeholder participation ☐ Climate action ☐ Spatial inclusion
  - ☐ Alignment to international agendas ☐ Urban finance
- ☐ Others ........................................................................................................................................

- ☐ Other ........................................................................................................................................
Elaborate on the objective of the urban planning process. What is needed? Why is it important?

What are the main challenges regarding the context in which the planning process will take place (in terms of spatial and planning components, governance, finance, social inclusion, climate change, participation, etc.)?

In an ideal scenario, when should the urban planning process be completed? ......................(month/year)

In an ideal scenario, when should the planning process start? ......................(month/year)

How much time is there available to finish the urban planning process? ......................(months)

Section 2. Questionnaire

Instructions

1. In a collaborative session, take the Questionnaire included in the digital platform, using the questions as a guide to discuss and reach consensus. Take in consideration the previous section.

2. View the Questionnaire results in the Toolbox section, and review the saved blocks and activities of all phases. Discuss which ones might be missing or which might have already been developed. Using the interactive toolbox, add or remove activities, to consolidate the customised planning process.

Section 3. Assessing table

Additionally to the planning objectives, it is necessary to acknowledge which are the available basic resources for urban planning, in terms of:

- Time
- Available budget
- Internal capacity
- Territorial jurisdiction
- Stakeholders engagement

The lack of basic resources might crucially affect the quality of the urban planning process. The process, defined with this toolbox, is a full and comprehensive sequence of activities that ensures a result aligned with UN-Habitat planning standards. However, some steps might be challenging and require specific capacities. This toolbox aims to support local governments with limited capacities, elaborating a customised and incremental approach.

The following table helps to evaluate the local capacities and resources to adjust the urban planning process. The level of complexity and the number of activities decrease according to the availability of resources. Once
the self-assessment is carried out, the final list of activities and tools should be defined and compiled by the team, complementing the questionnaire results in the previous step.

**Instructions**

*Using the assessment table below as a guide, evaluate the level of resources (basic, medium, advanced) for each category. Calculate the overall score by adding the total points (1 - 2 - 3) and determine which is the advisable planning process to follow.*

<table>
<thead>
<tr>
<th>Total score</th>
<th>Type of process</th>
<th>Type of planning process to follow</th>
</tr>
</thead>
<tbody>
<tr>
<td>5-7</td>
<td>Basic process</td>
<td>▲ Less required activities</td>
</tr>
<tr>
<td>8-12</td>
<td>Medium process</td>
<td></td>
</tr>
<tr>
<td>13-15</td>
<td>Advanced process</td>
<td>▼ More required activities</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Category</th>
<th>1 point (basic)</th>
<th>2 points (medium)</th>
<th>3 points (advanced)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time</td>
<td>□ There is a pressing deadline and the technical team has several projects to deal with simultaneously.</td>
<td>□ There is a pressing deadline, or the technical team has several projects to deal with simultaneously.</td>
<td>□ There is no urgent deadline and the technical team can focus only on developing this project.</td>
</tr>
<tr>
<td>Budget</td>
<td>□ The internal budget for this project is limited and there is no possibility of external funding.</td>
<td>□ The internal budget for this project is limited or there is no possibility of external funding.</td>
<td>□ There is an adequate internal budget for this project and the possibility of external funding.</td>
</tr>
<tr>
<td>Internal capacities</td>
<td>□ The team lacks an adequate number of employers and does not have the required expertise.</td>
<td>□ The team lacks an adequate number of employers or expertise required for a complete process.</td>
<td>□ The team is formed by an adequate number of professionals and they cover all the expertise required for a complete process.</td>
</tr>
<tr>
<td>Territorial jurisdiction</td>
<td>□ The local government is unstable and has limited decisional power in its territory, due to a centralised system.</td>
<td>□ The local government is unstable or has limited decisional power on its territory, due to a more centralised system.</td>
<td>□ The local government is stable and has high decisional power on its territory.</td>
</tr>
<tr>
<td>Stakeholders engagement</td>
<td>□ The stakeholders and the community are not particularly active, and the trust has not been built yet.</td>
<td>□ The stakeholders and the community are not particularly active, or the trust has not been built yet.</td>
<td>□ The stakeholders and the community are particularly active, and the trust has already been built in previous experience.</td>
</tr>
</tbody>
</table>

**TOTAL SCORE = ……………………**

**Type of planning process to follow:** □ Basic □ Medium □ Advanced

**Section 3. Work plan**

*After understanding the urban planning process objective and evaluating the available resources, develop a preliminary work plan using and adjusting the [T8 Project Work Plan Template](https://www.digitaltools) (Digital Tools spreadsheet)*
After understanding the urban planning process objective and evaluating the available resources, develop a preliminary work plan using and adjusting the team, complementing the questionnaire results in the previous step.

Using the assessment table below as a guide, evaluate the level of resources (basic, medium, advanced) for advisable planning process to follow.

<table>
<thead>
<tr>
<th>Category</th>
<th>Basic</th>
<th>Medium</th>
<th>Advanced</th>
</tr>
</thead>
<tbody>
<tr>
<td>Engagement</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jurisdiction</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Capacity</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Budget</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Time</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total score**
- 13-15
- 8-12
- 5-7
- Below 5

**Type of process**
- 1 point (basic)
- 2 points (medium)
- 3 points (advanced)

**T7 Workshop Checklist**

**Description** This tool aims to provide guidelines to carry out any planning activity as a workshop, to allow for more participation, collaboration, and interaction. Workshops can take place in-person, online or hybrid modality, according to available resources, physical and public health conditions, needs, and objectives. Both formats can be combined in different activities along a planning process.

**Participants** This activity is carried out by the technical team.

<table>
<thead>
<tr>
<th>In-person workshop</th>
<th>Online workshop</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participants gather in the same physical space to carry out an activity in a participatory way.</td>
<td>Participants meet online synchronously (at the same time) using a digital tool.</td>
</tr>
</tbody>
</table>

**Considerations:**
- Ideal when participants are located in the same community or city.
- Face-to-face discussions provide more interaction and engagement.
- The number of participants is restricted to the size of the physical space available.
- Availability of resources should be ensured (avenue, catering and sketching materials or printouts).

**Considerations:**
- Ideal when participants are not located in the same geographical area.
- Ideal when conditions do not allow for physical contact, such as the implementation of public health measures or limited resources for commuting.
- Can allow for a large number of participants.
- Internet access and digital fluency are required.
- Can be more cost-effective (if free digital tools are used). No need for sketching materials or printouts.

**Hybrid workshop**

Some participants will gather in the same physical space and some of them will be attending remotely (at the same time) using a digital platform.

**Considerations:**
- Ideal when there are conditions to hold an in-person workshop but some participants are not located in the same geographical area.
- It is important to create ways of interactions and connections with participants in the room and those who have joined remotely.
- Ensure that everyone has access to the same tools whether they participate in the room or virtually.

**Workshop general guidelines**

**Preparation**

- Define if the workshop will be carried out in person, online or hybrid.
- Set a date, time, and place (if it is in-person) or digital tool (if it is online) to implement the workshop.
- Create a facilitation guide outlining the specific activities that will be conducted and the duration of each one. Set a time at the beginning to share the workshop’s objectives and for participants’ introductions.
- Identify and make a list of participants, using an excel spreadsheet to gather their details. These will vary according to the activity.
- Extend invitations to participants. Include the workshop’s objective, date, time, duration, address or link, and a method to confirm guests’ participation (by email, digital form, text message, phone call, etc.).
- Assign roles and responsibilities.
- Prepare all the materials needed. For in-person workshops, set the room and furniture layout in advance. For online workshops, test the digital tool beforehand to get familiar with it and solve any technical issues.

**Roles**

- Participant-facing roles (they interact directly with workshop attendants)
  - Facilitator: presents the workshop’s objectives and instructions, and facilitates activities, and discussions.
T7 Workshop Checklist

- Content note-taker: writes down, collects, or pins up the content being discussed on a wall, board, paper or any surface used during the workshop. Sometimes this person can be the same as the facilitator.

Backstage roles (provide support)
- Workshop note-taker and photographer: documents how the workshop is developed — such as the topics discussed, the participants’ reactions, activities and possible iterations — and takes photos of the process.
- Time keeper: makes sure that the workshop schedule is kept on time. Let the facilitator know when there are 10, 5, and/or 2 minutes left for an activity so they can wrap up.
- Logistics/technical support: provides assistance in any logistical or technical issue that comes up especially in digital meetings, e.g. room control, screen share content, audio check etc.

After the workshop
- Gather feedback from participants to evaluate the content (impressions and learnings) and format (what worked well and what can be improved). This can be done by handing out a questionnaire at the end of the workshop, or by sending out an online survey. You can find a questionnaire sample at the end of this tool.
- Share the materials used and produced during the workshop (presentations, videos, photos, maps, etc).

In-person workshops

List of materials: define according to the type of activities and workshop’s objective.

Space & furniture:
- A large enough room/space to fit all participants (complying with public health measures).
- A designated central space for the facilitator to present the activities and goals.
- Tables (without tablecloth) arranged in groups. All participants should be able to see the facilitator.
- Chairs for all participants.
- Pin up board, white board or a blank paper board to hang, pin up or draw notes and results. [For the facilitator and/or the content note-taker.]
- Pins or adhesive tape for pinning up and markers for drawing. [For the facilitator and/or the content note-taker.]

Drawing & sketching tools:
- Rolls of tracing paper of sufficient size to sketch on top of the maps. [80cm roll for A1 or double tabloid. 2 rolls per group. Make sure the paper is transparent.]
- Thick drawing markers. Provide different colours: black, light green, light blue, red, yellow, brown, orange. [One set of colours per group.]
- Black fine liners and pencils. [2-3 per group.]
- Coloured sticky notes.
- A stack of white A3 or tabloid paper. [To distribute upon needs.]
- Rulers of sufficient length to measure distances on provided maps. [If applicable.]
- Cardboard and scissors. [If applicable.]

Other technical equipment:
- A video projector of reasonable quality (minimum resolution 1024px, higher if available), bright enough to see in non-darkened rooms. A sufficiently large white surface to project on. [Upon availability. It will be used to project the workshop content.]
- If a video projector is not available, a TV screen can be used.
- Sufficient plugs and extension cords for laptops and screens. [These will be used to connect to the projector.]
- Camera or cell phone to take pictures.

Maps & documents:
- Printed Our City Plans tools and worksheets.
- Printed base map(s) and aerial image(s) of the municipality at reasonable scale (suggested 1:5000) and size (suggested A1 or double tabloid). [One set of maps and aerial images per group.]
- Existing planning documents, upon availability. [Everyone should be able to see them.]
- Set of photos considered useful to illustrate the area of study. [One set of photos per group.]

Online workshops

Digital tools: select according to specific purposes and workshop exercises.

<table>
<thead>
<tr>
<th>Purpose</th>
<th>Tools</th>
</tr>
</thead>
<tbody>
<tr>
<td>---------</td>
<td>-------</td>
</tr>
</tbody>
</table>
**T7 Workshop Checklist**

| Video conferencing, meetings, workshops, webinars, | Zoom, Google Meet, Microsoft Teams  
Facebook Live, Instagram Live, Youtube Live (for webinars and virtual events) |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Collaborative documents, spreadsheets, presentations</td>
<td>Google Docs, Google Sheets, Google Slides</td>
</tr>
<tr>
<td>Brainstorms, digital boards, collaborative design</td>
<td>Miro, Invision, Mural, Notion, Google Jamboard</td>
</tr>
</tbody>
</table>
| Surveys | Google Forms, KoBo Toolbox (asynchronous)  
Mentimeter, Poll Everywhere (synchronous, for interactive questionnaires during presentations/workshops). |
| Invitations, event communications | Mail Chimp  
Social media (Whatsapp groups, Facebook, Instagram) |
| Project management | Trello, Monday, Asana |

**Workshop evaluation questionnaire**

Overall, how do you rate this workshop?

☐ Poor  ☐ Fair  ☐ Good  ☐ Very good  ☐ Excellent

How much do you agree with the following statements?

1 = Strongly disagree  2 = Disagree  3 = Neutral  4 = Agree  5 = Strongly Agree

The workshop was useful

The workshop objectives were stated and clearly met

The workshop was well organised

Activities and discussions were well facilitated

The length of the workshop sufficient

What was your main take-away/learning from today's content and discussions?

........................................................................................................................................................................
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........................................................................................................................................................................
........................................................................................................................................................................

What did you enjoy the most?

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What did you enjoy the least?

........................................................................................................................................................................
........................................................................................................................................................................
........................................................................................................................................................................
........................................................................................................................................................................
........................................................................................................................................................................
Do you have any suggestions on how to improve this workshop?

(Additional questions)
### T9 Guiding Document Template

**Description** This tool supports the creation of the Terms of Reference (ToR) regarding the planning process. The ToR document defines the project’s background, purpose, goals, and deliverables. It states who will take part of the project and their roles, including the technical team, partners, and stakeholders. Finally, it establishes the process, activities, and workplan that will be followed, and the resources and budget that will be used.

**Participants** This document is developed by the project leader and the preliminary technical team. Representatives of the local government, potential key stakeholders, and partners should be involved in the process to provide their input and feedback.

### Instructions

Use the guiding questions below to write the Terms of Reference document.

<table>
<thead>
<tr>
<th>Section</th>
<th>Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Justification</strong></td>
<td>Why is it relevant to develop an urban planning process?</td>
</tr>
<tr>
<td><strong>Context</strong></td>
<td>What is the project background?</td>
</tr>
<tr>
<td></td>
<td>What is the legal framework for the planning process?</td>
</tr>
<tr>
<td></td>
<td>Does the city already have a plan? When was it last updated?</td>
</tr>
<tr>
<td></td>
<td>What is the local context of the city (population, growth, density, risks, infrastructures, etc.)?</td>
</tr>
<tr>
<td><strong>Objectives and Strategies</strong></td>
<td>What are the project’s objectives? Some examples include:</td>
</tr>
<tr>
<td></td>
<td>○ Produce/update a plan for the city</td>
</tr>
<tr>
<td></td>
<td>○ Provide a legal framework for planning processes</td>
</tr>
<tr>
<td></td>
<td>○ Identify the extension zones to absorb the urban growth in the next 15 years</td>
</tr>
<tr>
<td></td>
<td>○ Identify options and priorities for climate change adaptation</td>
</tr>
<tr>
<td></td>
<td>What is the area of study for the plan?</td>
</tr>
<tr>
<td></td>
<td>What strategies and processes will be implemented to meet those objectives? Some examples include:</td>
</tr>
<tr>
<td></td>
<td>○ Follow a participatory approach</td>
</tr>
<tr>
<td></td>
<td>○ Build a solid data base for the city</td>
</tr>
<tr>
<td></td>
<td>What are the risks and challenges for developing this project (T10 Environmental and Social Screening Report Template for the Planning Process)? What are potential solutions to address them?</td>
</tr>
<tr>
<td><strong>Team</strong></td>
<td>What expertise and roles are needed to complete the planning process and project? (Use the T1 List of Minimum Required Expertise and Partners tool)</td>
</tr>
<tr>
<td></td>
<td>Who will be in charge of each task?</td>
</tr>
<tr>
<td><strong>Deliverables</strong></td>
<td>What are the expected deliverables and their content? Suggestions:</td>
</tr>
<tr>
<td></td>
<td><strong>Deliverable 1: Analysis and diagnosis</strong>, which includes:</td>
</tr>
<tr>
<td></td>
<td>- Multiscale analysis</td>
</tr>
<tr>
<td></td>
<td>- Climate vulnerability assessment</td>
</tr>
<tr>
<td></td>
<td>- Topics (Governance, infrastructure, land use, environnement, etc.)</td>
</tr>
<tr>
<td></td>
<td>- Maps and scales</td>
</tr>
<tr>
<td></td>
<td>- Strategic vision</td>
</tr>
</tbody>
</table>
Deliverable 2: Urban plan, which includes:
- Suitability map
- Sectoral plans
- Land use plan

Deliverable 3: Implementation plan, which includes:
- Actions, activities, and strategies for the implementation of the plan
- Indicators, including how and when they will be measured
- Budget lines

Participation and communication

- Who will be involved in the planning process and in what way? (Use the T12 Stakeholders’ Mapping tool) This includes:
  - Relevant stakeholders
  - Steering and advisory committee members
  - Engagement strategies and activities for different types of involvement along the planning process
- How will the general population be informed about the project? What are the communication strategies?

Activities

- What activities should be carried out to complete the project successfully? Use the activities included in the toolbox and the results of the T6 Self-Assessment Guide to define the activities, methodologies and expected results.
- What are the key performance indicators that will be used to monitor and evaluate the planning process? (Use the T3 Matrix of References tool).

Work plan

- What is the work plan and deadlines to achieve the project activities and goals? (Use the T8 Work Plan Template tool).

Budget

- What is the project budget? How will financial resources be allocated?

ESS Screening Report

- Fill the T10 Environmental and Social Screening Report Template and attach to the Guiding Document.
T10 Environmental and Social Screening Report Template

Description
This tool aims to support the development of the Guiding Document (Terms of Reference) regarding the environmental and social risks. It identifies the risk category of the planning process and outlines the activities to be considered in the work plan to monitor and manage the impacts.

Participants
This document is developed by the project leader and the preliminary technical team.

Instructions
Gather and review the documents of the city plan and use the guiding questions below to write the Screening Report for the Planning Process/Plan/Project.

During the Guiding Document brainstorming and discussion session, revise and validate the results with the local government and key potential partners and stakeholders.

1. GENERAL INFORMATION OF THE PLAN/PROJECT

- What is the location of the plan/project (continent, country, province): .........................................................
- What is the population of the city: .................................................................
- What is the extension of the city: .................................................................
- What is the expected duration for the planning process/project (number of months)? .................................

Potential Stakeholders interested in the Plan/Project
- List the stakeholders that should participate in the planning process. Tip: use the table 1 of the tool T12 Stakeholders’ Mapping
  1. .................................................................  8. .................................................................
  2. .................................................................  9. .................................................................
  3. ................................................................. 10. .................................................................
  4. ................................................................. 11. .................................................................
  5. ................................................................. 12. .................................................................
  6. ................................................................. 13. .................................................................
  7. .................................................................

Existing regulations and requirements
- Does the country, region or city have any regulation related to Safeguard Systems (impact assessment, risk monitoring and management, action plan, etc)? □ No □ Yes

- If yes, does the regulation require that this type of work (City Planning Process) develops an Environmental and Social Impact Assessment (ESIA)? (yes/no/NA)
  □ No □ Yes:.................................................................................................................................

- Is an ESIA process required by the donor requirements (if any)? □ No □ Yes

- If yes, are there gaps between the national/regional/city and the donor’s Social systems and requirements? If yes, list the main differences.
  □ No □ Yes:.................................................................................................................................
## 2. IDENTIFICATION OF RISKS

<table>
<thead>
<tr>
<th>Safeguards</th>
<th>Potential risks and impacts from the process</th>
<th>Rank the risk level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Labour and working conditions</td>
<td><strong>Worker’s rights</strong> may be neglected/violated.</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td></td>
<td>The work could involve the use of <strong>child labour.</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>The work could involve the use of <strong>forced labour.</strong></td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td></td>
<td><strong>Freedom</strong> of workers’ organisations or collective bargaining may be neglected.</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td></td>
<td>May particularly affect the safety to live, work and participate in urban life for persons in vulnerable situations.</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td>Zero-carbon development, pollution prevention and resource efficiency</td>
<td>During construction or operation, it generates pollutants or waste, which could affect human health or the environment.</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td></td>
<td>During construction or operation, <strong>hazardous materials or pesticides</strong>, which could affect human health or the environment, may be used.</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td></td>
<td>Requires a <strong>significant amount of water and/or energy</strong>, which implies competition with host communities (for instance, water for human consumption or economic activities)</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td>Climate change resilience, community health, safety and security</td>
<td>Does the project adversely affect the resilience of ecosystems, urban systems, infrastructure or communities?</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td></td>
<td><strong>Activities, machinery or infrastructure</strong> associated to the project/programme could have adverse impact on the community’ health and safety</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td></td>
<td>In case of an accident or emergency situation, the effect on the surrounding community or in the ecosystem could be significant.</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td></td>
<td>The planning/project area is vulnerable to health issues that can put the technical team at risk (e.g. epidemic, malaria, ebola, etc.)</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td></td>
<td>The planning/project area encompasses areas of social tension (e.g. terrorism, community groups tensions, political violence, land dispute, etc.)</td>
<td>□ 0 □ 1 □ 2 □ 3</td>
</tr>
<tr>
<td><strong>Displacement and involuntary resettlement</strong></td>
<td>The planning/project area is vulnerable to climate and environmental hazards that can put the technical team at risk (e.g. strong storms, cyclones, etc.)</td>
<td>☐ 0 ☐ 1 ☐ 2 ☐ 3</td>
</tr>
<tr>
<td><strong>Biodiversity conservation, and sustainable management of living natural resources</strong></td>
<td>Activities such as workshops and public consultations associated with the plan/project could have adverse impact on the participant’s safety.</td>
<td>☐ 0 ☐ 1 ☐ 2 ☐ 3</td>
</tr>
<tr>
<td></td>
<td>In case of an accident or emergency situation, the effect on the implementing body could be significant.</td>
<td></td>
</tr>
<tr>
<td><strong>Indigenous peoples</strong></td>
<td>May adversely impact the rights, lands, resources and territories of the indigenous peoples</td>
<td>☐ 0 ☐ 1 ☐ 2 ☐ 3</td>
</tr>
<tr>
<td><strong>Cultural Heritage</strong></td>
<td>May adversely impact cultural heritage properties and sites of archaeological, historical, cultural, artistic, and religious significance. May adversely impact intangible heritage (uses and traditions...).</td>
<td>☐ 0 ☐ 1 ☐ 2 ☐ 3</td>
</tr>
<tr>
<td><strong>Compliance with the Law</strong></td>
<td>Application to environmental, building or other sectoral permits is a requirement by the local regulation</td>
<td>☐ 0 (no) ☐ 3 (yes)</td>
</tr>
<tr>
<td></td>
<td>Activities, workshops, consultations, machinery or infrastructure imply/involve any violation to local, regional, national regulations (e.g. constitution, declaration of civil rights).</td>
<td>☐ 0 ☐ 1 ☐ 2 ☐ 3</td>
</tr>
<tr>
<td><strong>Access and Spatial Justice</strong></td>
<td>The equal distribution of the plan/project/programme benefits is not guaranteed</td>
<td>☐ 0 ☐ 1 ☐ 2 ☐ 3</td>
</tr>
<tr>
<td></td>
<td>May adversely result in any form of discrimination in the access to the project/programme benefits</td>
<td>☐ 0 ☐ 1 ☐ 2 ☐ 3</td>
</tr>
<tr>
<td></td>
<td>Women and girls’ participation in the plan/project development activities is a challenge due to cultural or political context.</td>
<td>☐ 0 ☐ 1 ☐ 2 ☐ 3</td>
</tr>
<tr>
<td></td>
<td>The equal participation of indigenous people in participatory activities is uncertain (if there are indigenous people in the planning area).</td>
<td>☐ 0 ☐ 1 ☐ 2 ☐ 3</td>
</tr>
</tbody>
</table>
The equal participation of migrants, refugees, stateless and internally displaced persons in participatory activities is uncertain (if these groups are present in the planning/project area).

Human rights
May adversely involve any form of discrimination in the access to the project benefits.
May imply the violation of any human right.

<table>
<thead>
<tr>
<th>Human rights</th>
<th>0 1 2 3</th>
<th>0 1 2 3</th>
<th>0 1 2 3</th>
</tr>
</thead>
</table>

Total score:

3. Categorisation of Risk Level

Note: The following categorization and activities to implement are references from the UN-Habitat Environmental and Social Safeguard System. The resulting category and list of activities should be adjusted according to the existing regulations and donor requirements (from item 2 above).

### Planning Process

- **No risks or low risk**
  - Applies for: Total score is lower than 32 or and no item was scored with 2.
  - Activities to consider in the workplan and budget: None

- **Medium or high risk**
  - Applies for: Total score is above 32 or and any item was scored with 3.
  - Activities to consider in the workplan and budget: Development Impact Plan (DIP).

- **Potential risks**
  - Applies for: Regardless of the score, the planning runs under an emergency/crisis or is part of a humanitarian action.
  - Activities to consider in the workplan and budget: Development Impact Plan (DIP).

### City/Neighbourhood Plan

- **No risks or low risk**
  - Applies for: Total score is lower than 36 and no item was scored with 3.
  - Activities to consider in the workplan and budget: Development Impact Plan (DIP).

- **Medium or high risk**
  - Applies for: Total score is above 36 and any item was scored with 3.
  - Activities to consider in the workplan and budget: Scoping Report and Environmental and Social Action Plan (ESAP).

- **Potential risks**
  - Applies for: Regardless of the score, the neighbourhood/city plan works an urban area under an emergency/crisis or is part of a humanitarian action.
  - Activities to consider in the workplan and budget: If time allows, prepare a Development Impact Plan (DIP). Each time the situation changes, retake the Screening Report.
## T10 Environmental and Social Screening Report Template

<table>
<thead>
<tr>
<th>Project (Physical intervention)</th>
<th>No risks or low risk</th>
<th>Medium or high risk</th>
<th>Potential risks</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Applies for:</strong> projects with limited physical interventions or total score is lower than 60 and no item was scored with 3.</td>
<td><strong>Applies for:</strong> Environmental and Social Impact Assessment Report (ESIA).</td>
<td><strong>Applies for:</strong> Regardless of the score, the project is designed to respond to an emergency/crisis or is part of a humanitarian action.</td>
<td></td>
</tr>
<tr>
<td><strong>Activities to consider in the workplan and budget:</strong> Scoping Report and Environmental and Social Action Plan (ESAP).</td>
<td><strong>Activities to consider in the workplan and budget:</strong> Environmental and Social Action Plan. Each time the situation changes, retake the Screening Report.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Equivalent to UN-Habitat’s ESS Category D1.</td>
<td>Equivalent to UN-Habitat’s ESS Category C.</td>
<td>Equivalent to UN-Habitat’s ESS Category E.</td>
<td></td>
</tr>
</tbody>
</table>
**Description** This tool aims to support assessment of possible future impacts/risks identified in the Screening Report, and prepare a monitoring plan.

**Participants** This document is developed by the project leader and the preliminary technical team.

**Instructions**

Review the risks identified in the Screening Report and discuss with the team the activities to be undertaken in the urban planning process of your city/neighborhood in relation to the risks.

After that, list test duration and define a timeline for monitoring to ensure direct observation of the activity, subsequent development phases, changes that may occur and measurement of the associated risk/impact. Fill the table below with the information.

<table>
<thead>
<tr>
<th>1. ACTIVITIES OVERVIEW AND POTENTIAL ASSOCIATED RISKS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nº</td>
</tr>
<tr>
<td>----</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2. FOLLOW-UP ACTIVITIES AND TIMELINE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nº</td>
</tr>
<tr>
<td>----</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
T12 Stakeholders' Mapping

**Description** This tool is part of the project preparation process and is useful to understand the support or opposition that the planning project may get from different actors. The stakeholders' mapping matrix will generate a graphic representation of the social and institutional structure of the context in which the planning process will take place. The results will help the team define how to engage with each stakeholder, and define a steering committee and an advisory committee to help guide the process.

**Participants** This tool can be carried out either by the preliminary technical team as an internal activity, or by inviting external members (decision-makers, members of civil society, representatives of different groups, etc.) to hold a more collaborative and participatory workshop. (See the Workshop Checklist (T7) tool for more details).

**Instructions**

1. Make a list of all the stakeholders who are important to consider because they are required in the planning process, or because of their interest, influence, or impact on the project (government institutions / civil society or associations / informal associations or independent actors).

   **Tip:** This can be done by using sticky notes of colour — where all the participants brainstorm the names and actors at the same time — or by filling out each question on the printed template, where each participant responds independently and then the answers are consolidated on a final list. If you use coloured sticky notes, you can use 3 different colours according to the type of institution (institutions and/or civil society; associations and/or informal associations; independent actors) or any other category. Include gender responsiveness and ensure the involvement of women and youth as well vulnerable and marginalised groups in the process.

2. Categorise each stakeholder according to their level of power and affinity to the project using the template matrix.

   **Power:** The level of institutional, financial and/or social influence and power in the decision-making process.
   **Affinity:** The level of interest, involvement and/or commitment to the project, in terms of their support or opposition to the project.

   **Tip:** Print the matrix on an A1, A3 or tabloid paper — or else 4 A4 or legal/letter sticked together — to make a large poster. You can also draw the matrix on a board or large paper.

3. Using arrows and lines, draw and discuss the different types of relationships between the identified stakeholders (experience working together, willing to collaborate, conflictive, neutral, etc.).

4. The matrix suggests different ways to engage with stakeholders according to what quadrant they are placed on (keep satisfied, monitor, manage closely, and keep informed). Those with a higher power are likely to be the most useful supporters or most dangerous opponents. Using the matrix, discuss how each stakeholder should be involved along the planning process. These might include methods to gather input, opinions, and/or feedback or ways to keep them updated about the project. Some examples include:

   - Public hearings
   - Bulletins/memos with project updates
   - Consultation meetings
   - Workshop
   - Individual or group interviews
   - Surveys/questionnaires
T12 Stakeholders' Mapping

**Designate the members of the steering committee and the advisory committee.**

**Government institutions** who should be involved in the planning process

<table>
<thead>
<tr>
<th>Names of institutions and authorities</th>
<th>Engagement strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Non-government stakeholders** who should be involved because of their interest or influence on the project

<table>
<thead>
<tr>
<th>Names of stakeholders</th>
<th>Engagement strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>Private sector</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## T12 Stakeholders' Mapping

<table>
<thead>
<tr>
<th>Stakeholder Category</th>
<th>Engagement Strategies</th>
</tr>
</thead>
<tbody>
<tr>
<td>NGOs, civil society associations</td>
<td></td>
</tr>
<tr>
<td>Religions and/or ethnic groups</td>
<td></td>
</tr>
<tr>
<td>Women and girls (associations or organisations)</td>
<td></td>
</tr>
<tr>
<td>Children and youth (associations or organisations)</td>
<td></td>
</tr>
<tr>
<td>Older persons (associations or organisations)</td>
<td></td>
</tr>
<tr>
<td>Persons with disabilities (associations or organisations)</td>
<td></td>
</tr>
<tr>
<td>Migrants, refugees, stateless, internally displaced persons or indigenous people</td>
<td></td>
</tr>
<tr>
<td>Other vulnerable and minority groups</td>
<td></td>
</tr>
<tr>
<td>Other independent actors or relevant stakeholders</td>
<td></td>
</tr>
</tbody>
</table>
Steering and advisory committees

The **steering committee** is a small or medium group of stakeholders that are involved in the decision-making and validation processes. It works with the planning team to suggest strategies and orientations, review, and approve the various steps of the planning process. Its members have a high level of power and affinity to the project, and come from different sectors. It includes representatives from the local government, private sector, civil society and community, financial partners (if any), and vulnerable groups.

*Write down the names of the steering committee members:*

- .................................................................  .................................................................
- .................................................................  .................................................................
- .................................................................  .................................................................
- .................................................................  .................................................................
- .................................................................  .................................................................
- .................................................................  .................................................................

The **advisory committee** provides technical expertise and empirical knowledge to ensure that the plan responds to different perspectives and needs. It is composed by a heterogeneous group of experts such as members of the government, private sector, academia, NGOs, vulnerable groups, international organisations, and key experts. They are substantially involved during the technical activities and workshops to support the plan development.

*Write down the names of the advisory committee members:*

- .................................................................  .................................................................
- .................................................................  .................................................................
- .................................................................  .................................................................
- .................................................................  .................................................................
- .................................................................  .................................................................
- .................................................................  .................................................................

**Tip:** Gender-responsive participation can be ensured with some concrete actions such as:
- Consider consultation with male and female stakeholders separately
- Identify time and location of consultation meetings suitable and comfortable for both men and women
- Consider appropriate ways of communication based on different gender and age access to information technology and literacy.
- Consider setting minimum quota and progress targets.
### T13 Participation Plan Guide

**Description:** This tool aims to support the development of the Participatory Plan, defining the specifications of each activity and the risk and mitigation strategies for an inclusive and comprehensive participatory process.

**Participants:** This plan is developed by the technical team. If there are implementing partners for the participatory process (e.g., NGOs or community groups), they should be involved in the development of this plan to provide insights about their capabilities.

**Instructions**

**Section 1. Implementation Plan**

1. According to the defined participation strategy, fill in the following table for each participatory activity in the process. While doing so, validate the information of each activity with the general work plan for the participatory process to provide relevant inputs.

<table>
<thead>
<tr>
<th>1. ACTIVITY (Add name)</th>
<th>Objective:</th>
<th>Goal (expected outputs):</th>
</tr>
</thead>
</table>

*Tip: Replicate the table below for each activity in the process*

<table>
<thead>
<tr>
<th>Objective:</th>
<th>Goal (expected outputs):</th>
</tr>
</thead>
</table>

**Audience:**
- ☐ Committee
- ☐ Technical Experts
- ☐ General Public
- ☐ Community

**Type:**
- ☐ In-person
- ☐ Remote
- ☐ Hybrid

**Timing:**
- ☐ Synchronous
- ☐ Asynchronous

**Associated planning process step(s) (activity):**

Fill in the following information based on the audience, type and timing selected

<table>
<thead>
<tr>
<th>Duration:</th>
<th>Date and Time:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Location:</th>
<th>Facilitator(s):</th>
</tr>
</thead>
</table>

| Digital platform: | |

---
**Participants**
List who should be invited to participate (names of institutions). *Tip: When thinking about the general public, consider key population groups.*

1. ........................................
2. ........................................
3. ........................................
4. ........................................
5. ........................................
6. ........................................
7. ........................................
8. ........................................

**Materials needed**
List all of the materials needed for the activity. *Tip: think about materials to develop (ppt, booklets, etc.) and materials to procure (stationery items). See T7 Workshop Checklist as a reference.*

1. ........................................
2. ........................................
3. ........................................
4. ........................................
5. ........................................
6. ........................................
7. ........................................
8. ........................................

**Agenda**
Map out the main steps within the activity and define how long they should take. Add as many rows as needed.

<table>
<thead>
<tr>
<th>Step</th>
<th>Duration</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Section 2. Outreach Plan**

1. According to the communication strategy, fill in the following table for each outreach activity in the process, associated with the diffusion of a participatory activity to a certain audience. While doing so, validate the information of each activity with the general work plan for the communication to be effective.

*Tip: Validate the activities with a communication expert, either external or within the team. Use this guide to have a general overview of the activities and overall plan.*

1. **OUTREACH ACTIVITY** *(Add name)* .................................................................

*Tip: Replicate the table below for each activity in the process*

**Objective:** ........................................................................................................
............................................................................................................................
............................................................................................................................

**General Audience:**  □ Committees  □ Technical Experts  □ General Public

**Target audience** *(key population groups or stakeholders)*  | **Participatory Activity Associated:** ............................................................
T13 Participation Plan Guide

<table>
<thead>
<tr>
<th>Communication Channel(s):</th>
<th>□ Social Media □ Posters □ Website □ Events □ Radio □ Print Media (newspapers and magazines) □ Audiovisual (TV) □ Other ..................................................................................</th>
</tr>
</thead>
<tbody>
<tr>
<td>Release Date and Time:</td>
<td>Run time (if applicable)</td>
</tr>
<tr>
<td>Content</td>
<td>Materials needed</td>
</tr>
<tr>
<td></td>
<td>List all of the materials needed for the activity. <em>Tip: think about materials to develop (graphics, audios, social media account/pages)</em></td>
</tr>
</tbody>
</table>

**Section 3. Risks and Mitigation Strategy**

This section should be done in parallel to the definition of the implementation and outreach plan for the specific activities and actions to reflect the results obtained.

1. Use the guiding questions below to identify risks for the implementation and success of the participatory process.

**Risk Analysis**

- Can everyone participate in this process?
- Do people have the time to participate in these activities? Are they willing to do so?
- Are people of different gender, age, schooling, occupation, socioeconomic level, abilities and health levels able to participate?
- What is the level of technological literacy of the participants?
- Do the participants have access to technological resources for remote activities?
- What is the participants’ preferred method of communication? (speaking, writing, drawing, etc.)
- Have accessibility and universal design been considered?
- Are there formal or informal local leaderships among the population that should be considered?
- Is the sociopolitical atmosphere safe for the implementation of a participatory process? Is there social unrest in the area?
- Are there any political, social or health crises that could intervene or stop the process? (eg. pandemics, wars, riots)
- Do the participants trust this type of process and the institutions doing them?
- Is there or could there be opposition to the implementation of this process? Who leads this opposition?
- Does the technical team have the skills and knowledge to facilitate and engage the participants?
- Are there enough resources available for the implementation of this plan?
T13 Participation Plan Guide

2. Fill in the following table based on the previous answers

<table>
<thead>
<tr>
<th>Risk Identified</th>
<th>Mitigation Strategy</th>
<th>Resources needed</th>
<th>Activities impacted</th>
</tr>
</thead>
<tbody>
<tr>
<td>What is the existing or potential risk for the execution and success of this plan?</td>
<td>How can this risk be tackled through the plan itself?</td>
<td>Are any additional resources needed for the execution of the mitigation strategy? (materials, funds, personnel, etc.)</td>
<td>Which activities within this plan are directly impacted by this risk and its mitigation strategy? Does the activity reflect this?</td>
</tr>
</tbody>
</table>

T14 Desk and Field Research - Maps & Data Checklist

- **Description** This tool includes all the maps and data needed for the Desk and Field Research activity. It will help prioritise, guide, and keep track of the map production process.

- **Participants** Technical team

- **Link** [Digital Tools spreadsheet](#)

T18 Analysis and Diagnostic - Maps & Data Checklist

- **Description** This tool includes all the maps and data needed for the Analysis and Diagnostic activity. It will help prioritise, guide, and keep track of the analysis process.

- **Participants** Technical team

- **Link** [Digital Tools spreadsheet](#)

T19 Urban Expansion Projections

- **Description** This tool will help calculate the population projections and the amount of land needed for an adequate urban expansion.

- **Participants** Technical team

- **Link** [Digital Tools spreadsheet](#)
**T15 Matrix of Functions (MoF)**

**Description** The Matrix of Functions (MoF) supports the territorial spatial analysis by giving an integrated and empirical understanding of the spatial structure and the land use by producing a set of hypotheses and assumptions. The visual correlation of each function by region provides a visualisation of the current qualities of the territory and its distribution, enabling the identification of gaps and actions to be considered in the development plan. The tool has two steps: 1) Inventory of Functions and 2) Building and Assessing the Matrix.

**Participants** Technical team and representative sample of population and key stakeholders.

---

**Step 1. The MoF Survey**

This step aims to collect the information of where each function is absent or present.

1. **Divide the city in sectors of analysis (by neighbourhood, zone, or other spatial sector classification) and list them.**
2. **List the functions (services, activities, etc.) that are important for a proper functioning of an urban environment based on the local context.** A function is every service, equipment, activity and facility which has an environmental, economic, administrative, social or cultural function in a given human settlement, it can be related to education (e.g. schools, universities, training centres), economy (e.g. shops, stores, restaurants), mobility (e.g. bus stop, bike lanes), environment (park, public square), health (pharmacies, medical centres), etc.
3. **List additional information related to these functions that can complement the analysis (e.g. main challenges to access a specific service).**
4. **Prepare a survey to be answered by representatives of each area of the city.** The presence or absence of each function should be collected in levels ranging from 0 to 5 (0 meaning absent and 5 very present/frequent/important).
5. **Do a brief training with those who will go to the field and carry out the participatory surveys.**

**Tip:** For in-person surveys, use the MoF survey template at the end of this tool and edit based on the city context. For online surveys, use a digital platform (e.g. Kobotoolbox) that allows downloading the results in excel format.

---

**Step 2. Building and Assessing the Matrix**

In this step the technical team analyzes the data and showcases the results.

1. **Consolidate the data collected in a spreadsheet:** the column corresponds to the sectors of the city and the rows to the listed functions.
2. **Separate the answers of the availability of services from the analytical information.**
3. **Organise the functions by hierarchy:** higher results on the left and lower answers on the right.
4. **Organise the sectors of the city by hierarchy:** higher answers on top and lower answers on the bottom.
5. **Colour answers:** darker for higher answers and lighter for lower answers, as exemplified below.
6. **The matrix is then ordered to categorise sectors and establish a set of prevalent functions of each category.**
7. **Highlight the lowest answers to identify the main development challenges.**
8. **Considering the number and type of functions available in them, the matrix classifies the area into functional categories.**
9. Using the matrix, the spatial structure of the territory will be defined. It is necessary to analyse the territorial dynamics of the region and the role of settlements in this structure based on the presence (or not) of key environmental services, physical infrastructure and social and economic activities.

10. Clusters of settlements with similar levels of development, areas with more concentration of settlements and functions are strongly interconnected and work cooperatively, and isolated areas with important functions.

11. Identify categories of (clusters) settlements based on hierarchy and functions.

12. Generate spatial maps to represent linkages and influence among different areas within the region.

Example of how to analyse the availability of services in the Matrix of Functions:

Example of how to analyse challenges to access services in the Matrix of Functions:

Tip: Showcase the results of the MoF through maps by linking the spreadsheet with the GIS tool the technical team is using. Also, correlate problems/services to create analytical infographics on excel (e.g. percentage of sectors that have high air pollution and no parks).
**Matrix of Functions Survey Template**

This survey refers to the neighbourhood (write the sector of analysis): ..........................................................

Name of surveyor:................................................................. Date:........................................

### EDUCATION

1. **How do you evaluate the availability of the following services in your neighbourhood?**

<table>
<thead>
<tr>
<th>Service</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Daycare</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Primary school</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Secondary school</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>University, higher education centres, training centres, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. **What are the challenges that prevent children from going to school?**

<table>
<thead>
<tr>
<th>Challenge</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of economic resources</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not enough number of schools</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transportation barriers</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (please indicate):</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### RESIDENTIAL

3. **How do you evaluate the household size in your neighbourhood?**

<table>
<thead>
<tr>
<th>Household Size</th>
<th>0 (empty)</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5 (or more)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of people by house</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Number of rooms</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5 (or more)</td>
<td></td>
</tr>
</tbody>
</table>

### HEALTH

4. **How do you evaluate the availability of the following services in your neighbourhood?**

<table>
<thead>
<tr>
<th>Service</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pharmacy</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Laboratory, clinic and medical centre</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Hospital</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5. **What are the challenges that prevent people from using health services?**
# T15 Matrix of Functions (MoF)

## Lack of economic resources

<table>
<thead>
<tr>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
</table>

## Not enough number of health facilities

<table>
<thead>
<tr>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
</table>

## Transportation barriers

<table>
<thead>
<tr>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
</table>

## Other (please indicate):

<table>
<thead>
<tr>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
</table>

## INFRASTRUCTURE

6. **How do you evaluate the availability of the following services in your neighbourhood?**

<table>
<thead>
<tr>
<th>Service</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Water network coverage</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Electricity</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Internet and telecommunication network coverage</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sanitation and drainage system network coverage</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Solid waste collection system</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Roads</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bus, train, subway stops</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bus, train, subway lines</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cycling lanes</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sidewalks</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Internet and telecommunication network coverage</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

7. **What are the challenges that prevent people from having water?**

   *Please rank the relevance from 1-5. If not a challenge, please mark 0.*

<table>
<thead>
<tr>
<th>Challenge</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of water network</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lack of economic resources (affordability)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (please indicate):</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

8. **What are the challenges that prevent people from electricity?**

   *Please rank the relevance from 1-5. If not a challenge, please mark 0.*

<table>
<thead>
<tr>
<th>Challenge</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lack of electricity network</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## T15 Matrix of Functions (MoF)

| Lack of economic resources (affordability) | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| Other (please indicate): | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |

### 9. What are the challenges in transportation within this neighbourhood?  
*Please rank the relevance from 1-5. If not a challenge, please mark 0.*

| Lack of roads | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| Bad quality of roads | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| Lack of public transportation | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| Not enough transportation options or connectivity | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| Other (please indicate): | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |

### 10. What are the challenges in transportation to other parts of the city?  
*Please rank the relevance from 1-5. If not a challenge, please mark 0.*

| Lack of roads | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| Bad quality of roads | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| Lack of public transportation | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| Not enough transportation options or connectivity | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| Other (please indicate): | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |

### 11. What percentage of people in your neighbourhood go to other neighbourhoods everyday for essential activities (work, education, groceries, etc.)?  
*0 = no one 1= Less than 25% 2 = 25-50% 3 = 50-75% 4 = More than 75% 5 = Everyone*  

| (Neighbourhood 1) | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| (Neighbourhood 2) | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| (Neighbourhood 3) | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |
| (Neighbourhood 4) | □ 0 | □ 1 | □ 2 | □ 3 | □ 4 | □ 5 |

### ENVIRONMENT, SOCIAL AND CULTURE

### 12. How do you evaluate the availability of the following facilities in your neighbourhood?  
*0 = Totally absent 1 = Very few 2 = Exist, but extremely insufficient 3 = Insufficient 4 = There are many and respond to almost all needs. 5 = There are plenty, it is definitely sufficient*
### T15 Matrix of Functions (MoF)

<table>
<thead>
<tr>
<th>Function</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public square, playground, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Open space, parks, green areas, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restaurant, shops, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public library</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Theatre and cinema</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other cultural or social facilities (please indicate):</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

13. How do you evaluate the use of the following facilities in your neighbourhood?
   - 0 = non applicable (does not exist)
   - 1 = Empty
   - 2 = Frequented by specific groups only in specific hours
   - 3 = Socially mixed but frequented only in specific hours
   - 4 = Socially mixed and well frequented
   - 5 = Socially mixed and very busy

<table>
<thead>
<tr>
<th>Function</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public square, playground, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Open space, parks, green areas, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Restaurant, shops, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public library</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Theatre and cinema</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other cultural or social facilities (please indicate):</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

14. What are the main environmental challenges in your neighbourhood?
   *Please rank the relevance from 1-5. If not a challenge, please mark 0.*

<table>
<thead>
<tr>
<th>Challenge</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Green areas degraded/polluted</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Water bodies degraded/polluted</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Air pollution</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (please indicate):</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

### GENERAL SERVICES

15. How do you evaluate the availability of the following services in your neighbourhood?
   - 0 = Totally absent
   - 1 = Very few
   - 2 = Exist, but extremely insufficient
   - 3 = Insufficient
   - 4 = There are many and respond to almost all needs
   - 5 = There are plenty, it is definitely sufficient

<table>
<thead>
<tr>
<th>Service</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Market, supermarket, food shop, etc.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General stores and shops</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Fire station</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Police station</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### T15 Matrix of Functions (MoF)

#### Other (please indicate):

<table>
<thead>
<tr>
<th>□ 0</th>
<th>□ 1</th>
<th>□ 2</th>
<th>□ 3</th>
<th>□ 4</th>
<th>□ 5</th>
</tr>
</thead>
</table>

**Example:** Spatial Development framework, Guinea Bissau

<table>
<thead>
<tr>
<th>Category</th>
<th>Local Sector (LS)</th>
<th>Pop (2009)</th>
<th>27 per cent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Centrality Score</td>
<td>186.68 – 465.32</td>
<td>Hierarchical level</td>
<td>1 2 3</td>
</tr>
</tbody>
</table>

**Territorial development (Functional Complexity):**
Is considered the lowest level of infrastructure and socio-economic development. The lack of electricity and limited accessibility through unpaved local roads, are the main constraints communities face. This coupled with the presence of only basic health and education facilities, pushes communities to mainly rely on agriculture and fishery production (81 Functions should be covered).

<table>
<thead>
<tr>
<th>Category</th>
<th>Regional Sector (RS)</th>
<th>Pop (2009)</th>
<th>34 per cent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Centrality score</td>
<td>486.72 – 789.23</td>
<td>Hierarchical level</td>
<td>4 5 6</td>
</tr>
</tbody>
</table>

**Territorial development (Functional Complexity):**
Access to better transportation, electricity and water infrastructure coupled with secondary education coverage allows the presence of government extension services and more commercial, agroprocessing activities and professional services than the previous category (146 functions should be covered, 81 from previous category).

<table>
<thead>
<tr>
<th>Category</th>
<th>Central Regional Sector (CRS)</th>
<th>Pop (2009)</th>
<th>13 per cent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Centrality score</td>
<td>870.44 – 1,126.72</td>
<td>Hierarchical level</td>
<td>7 8 9 10</td>
</tr>
</tbody>
</table>

**Territorial development (Functional):**
This category shows more urbanized environments than the previous categories, through the presence of higher levels of health facilities, professional education and recreational and cultural facilities, as well as finance institutions, business and industrial opportunities (198 functions should cover).

<table>
<thead>
<tr>
<th>Category</th>
<th>Central Sector (CS)</th>
<th>Pop (2009)</th>
<th>25 per cent</th>
</tr>
</thead>
<tbody>
<tr>
<td>Centrality score</td>
<td>2,827.07</td>
<td>Hierarchical level</td>
<td>11 12 13</td>
</tr>
</tbody>
</table>

**Territorial development (Functional):**
Highest level of physical and socio-economic development of the country. It concentrates the highest levels of judiciary, security, education and health services and facilities serving the whole country. (239 functions should be covered (198 from previous categories).
Description This tool helps to understand the structure of the city through participatory mapping at different scales and with relevant stakeholders. The spatial structure of the city informs the current pattern of urban growth and the existing structure of the urban fabric.

Participants This workshop is carried out by the technical team, the advisory committee and key stakeholders. (See the T7 Workshop Checklist tool for more details).

Materials

Maps & documents:
- Printed base map(s) and aerial image(s) of the municipality at different scales.
- Existing planning documents, upon availability.
- Set of photos considered useful to illustrate the area of study.

Drawing & sketching tools:
- Rolls of tracing paper of sufficient size to sketch on top of the maps.
- Thick drawing markers of different colours (black, green, blue, red, yellow, brown, orange).
- Black fine liners and pencils.

Definitions

Paths Elements that connect the spatial structure of the city and routes along which people navigate throughout it. There can be different path hierarchies: primary, secondary, and tertiary. E.g. green corridor, navigable river, railway, bridge, roads.

Edges Boundaries that interrupt the spatial structure of the city and define the natural urban expansion area. They are usually defined by clear natural and land use boundaries. E.g. river, mountain-chain, planning boundary, administrative boundary, expressway dividing two neighbourhoods.

Landmarks External elements that provide orientation in the city. These have different characteristics and can be functional, cultural/historical, environmental, etc.

Nodes Areas of convergence, where there is an aggregation of landmarks and/or conjunction of paths.

Zones Areas containing similar dynamics in the spatial structure.

Urban consolidation Urban areas where infrastructure capacity and land occupation are balanced and/or there are no predictable or justifiable major changes in the current urban fabric and urban form.

Urban transformation Urban areas where there is a mismatch between infrastructure capacity and land occupation and/or it is identified or predicted substantial changes in the current urban fabric and urban form.

Step 1. Mapping at the City Level

1. Update the satellite images and base maps produced for the whole city. Print them using a scale of between 1:2000 and 1:10000 (depending on the size of the city).

2. Gather key stakeholders at the city level and divide them into groups of 4-6 persons.

3. Present the key concept and general objective of the exercise. The following instructions apply to each group.

4. Using the satellite images, locate and mark on the tracing paper:
   - Primary paths (crossing the urban structure) and edges of the city.
T16 Participatory Incremental Mapping (PIM)

- Secondary paths (usually distributing from primary and secondary) and tertiary paths (usually connecting secondary).
- Primary functional, cultural/historical, and environmental landmarks.
- Functional cultural/historical and environmental landmarks included in the T15 Matrix of Functions (MoF), if applicable, with a focus on functional landmarks that are traffic generators.

5. Analyse the map to see the aggregation of landmarks and conjunction of paths. Identify the nodes. Colour the nodes with environmental landmarks in green and the nodes with cultural landmarks in brown.

6. Identify the current urban expansion dynamics of the city and discuss to determine and mark the current urban edge and administrative boundary.

7. Identify in the map all urban areas where infrastructure capacity and land occupation are mismatching (transformation) and colour them in red or orange. Paint the remaining area in blue (consolidation).

8. Identify in the map all areas where the structure of the city is leading the urban growth and colour them in red or orange (priority). Paint the remaining area in blue.

9. Identify in the map all areas with informal settlements and housing precarity and paint them in yellow.

10. Analyse the relationship of these yellow zones (social) with the structure of the city. If they are disruptive to the current urban structure, highlight them with blue lines (land readjustment). If they are located in areas of high risk (close to water bodies, high slopes, etc), highlight them in red.

11. Each group presents their map to all participants. All groups discuss the differences between the maps and reach a consensus to consolidate a final technical participatory map.

**Step 2. Mapping at the Neighbourhood Level**

1. After liaising with community leaders and local authorities, assemble key stakeholders at the neighbourhood level. Divide participants into groups, hand them out a satellite image and sketching materials. Then give them the following instructions.

2. Define and draw the neighbourhood edge on the tracing paper.

3. Validate the information consolidated in the technical participatory map at the city scale (paths, edges, landmarks, nodes, and urban growth and risk zones, if applicable) within the selected neighbourhood edge.

4. Identify any missing elements (not captured in the structure of the city represented in the technical map), in this sequence: paths, edges, landmarks – cultural/historical, functional and environmental, using the same colours of the technical map.

5. Refine the nodes and zones (boundaries and features) at the neighbourhood scale and validate their current classification using the same colours of the technical map.

6. Each group presents their map to all participants. All groups discuss the differences between the maps and reach a consensus to draw a final collective consensual map.
**T16 Participatory Incremental Mapping (PIM)**

### Step 3. Mapping of hazards, exposure and nature spaces

This step of the mapping exercise looks at the spatial component of vulnerability and ecosystem services. This approach helps to identify areas exposed to hazard and to generate data that can be used in planning for the reduction of local vulnerabilities and the protection of urban ecosystems.

1. **Print a new version of the satellite images and the land-use map covering the entire city. Print them using a scale of between 1:2000 and 1:10000 (depending on the size of the city).**

2. **Divide participants into groups according to the neighbourhoods.**

3. **Present the objective of the exercise and the concepts applied for this exercise (hazard, exposure).**

4. **Using the land-use map, locate and mark the following items (if applicable to your city): areas affected by flooding (coastal, river, etc.), areas affected by landslides, eroded areas (river, coastal, hillsides), areas prone to stagnation of water, areas affected by heat.**

5. **Overlay the hazard map and the map produced in Step 1 in order to identify areas and key elements that are exposed to hazards.**

6. **Using the satellite images (and the land-use map if needed), discuss and locate green and blue spaces within the city.**

### Step 4. Map Consolidation

1. **After validating the information of the maps produced through the previous steps, assemble key urban experts and at least one representative of each neighbourhood (community members that performed well during the participatory exercise), and give them the following instructions.**

2. **Update the urban edge based on the participatory exercises and validate it with the plenary.**

3. **In discussion with all participants, draw and consolidate a final map that includes:**
   - All paths, edges and landmarks included in the neighbourhood maps.
   - All nodes, zones, and boundaries from the neighbourhood maps.
   - All hazard-prone areas from the hazard map.

4. **Draw with the plenary a second map that only includes key elements: the structure of the city.**

5. **Digitalize the information for easy replication and convert them to GIS files, if possible.**
Step 3. Mapping of hazards, exposure and nature spaces

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4. Draw with the plenary a second map that only includes key elements: the structure of the city.

5. Digitalize the information for easy replication and convert them to GIS files, if possible.

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**Example:** Bahir Dar, Ethiopia
T17 Climate Impact Chain Diagram

Description This analytical and participatory tool helps to identify and systematise the connection between climate hazards and the different climate impacts to which a settlement and its population are exposed.

Participants This activity is carried out by the technical team, the advisory committee and key stakeholders.

Materials

Drawing & sketching tools:
- Rolls of tracing paper of sufficient size to write on them.
- A surface to stick the papers on and to draw lines that function as arrows.
- Thick drawing markers of different colours (black, green, blue, red, yellow, brown, orange).
- Black fine liners and pencils.

Definitions

<table>
<thead>
<tr>
<th>Climate hazards</th>
<th>Potential occurrence of a climate event that may cause loss of life, injury, or other health impacts as well as damage and loss to property, infrastructure, livelihoods, service provision, ecosystem and environmental resources.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exposure</td>
<td>Presence of people, species and ecosystems that could be adversely affected by climate hazards.</td>
</tr>
<tr>
<td>Climate impacts</td>
<td>Exposure and sensitivity in combination determine the potential impact of climate change. Primary climate impacts can create further impacts (secondary impacts).</td>
</tr>
</tbody>
</table>

Step 1. Introduction

Before starting the activity, review the information regarding historical climate data and climate hazards that have increased in the last decades in the city. This information was gathered during the desk research and the step 3 from the T16 Participatory Incremental Mapping. The analysis of the information before starting the activity will allow the facilitators to have a better overview of the climate risks to which the city is exposed and to guide the workshop adequately.

During the activity:
1. Start with a brief introduction about the objective and the expected outcomes of the activity.
2. Start defining the different concepts that will be used to create the climate impact chain diagram, such as climate hazards, exposure and climate impacts (primary and secondary).

Step 2. Identification of climate hazards

1. Enhance the discussion by asking the participants what have been the climate hazards that have affected the city in the last decades. Guide the discussion by giving some examples (floods, cyclones, drought, heatwaves, storm surges) that fit according to the data that was gathered in other activities, taking into account the frequency and intensity of the climate hazards.
2. Write on the stickers up to five main climate hazards and paste them in a first column. These climate hazards are expected to become more severe according to the discussion of the participants that are aware of the climate changes in the targeted area.
**Step 3. Identification of climate impacts**

1. **In the second column, participants will paste the sticker writing the primary impacts caused by climate hazards, which include impacts that affects factors such as:**
   - a. Natural environment and ecosystem services
   - b. Built environment and social infrastructure
   - c. Resource extraction (agriculture, fishery, livestock) and resource processing (industry and services) activities

2. **Link by drawing arrows the climate hazards and the impacts that are generated. This will create a climate chain diagram. Consider that different climate hazards can impact the same factor and can affect more than one factor.**

3. **In a third column participants will write down how the primary impacts generate impacts on the social sphere, these will be considered secondary impacts and include:**
   - a. Impacts on economic activities
   - b. Impacts on vulnerable groups and individuals
   - c. Impacts on demography
   - d. Impacts on livelihoods and public health

4. **During the discussion, highlight that the interactions between climate hazards and potential impacts define the climate exposure of the settlement and the population.**

**Step 4. Wrapping-up discussion**

Once all the primary and secondary impacts have been linked, review the final result of the diagram starting from the climate hazards, verifying that the flow is coherent and all the impacts are correctly linked. This process will facilitate future activities for analysing the vulnerability of the settlement and the population.

**Tip:** The level of accuracy on defining each climate impact, whereas its primary or secondary will depend on the profile, experience and technical capacity of the participants. Some participants will have a more technical understanding on how climate risks perturb ecosystems and human settlements, other participants will give a more detailed explanation on how climate impacts are occuring based on their experience facing climate hazards. It is important that the facilitator moderate the participation and establish a balanced outcome of the identified impacts.

**Example**

<table>
<thead>
<tr>
<th>Climate Hazards</th>
<th>Primary Impacts</th>
<th>Secondary Impacts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Drought</td>
<td>Reduced water availability</td>
<td>Lower incomes</td>
</tr>
<tr>
<td></td>
<td>More frequent power outages</td>
<td>Food insecurity</td>
</tr>
<tr>
<td>Higher temperatures</td>
<td>Reduced agricultural production</td>
<td>Increased risk of illness and mortality</td>
</tr>
<tr>
<td></td>
<td>Increased transmission of diseases</td>
<td>Displacement</td>
</tr>
<tr>
<td>Sea level rise</td>
<td>Heat island effect in urban areas</td>
<td>Loss of livelihoods</td>
</tr>
<tr>
<td></td>
<td>Coastal and inland area flooding</td>
<td>Limited economic growth</td>
</tr>
<tr>
<td>Cyclones</td>
<td>Damage to the urban infrastructure</td>
<td>Loss of jobs</td>
</tr>
<tr>
<td></td>
<td>Increased salinity of soil and water</td>
<td>Increased landlessness</td>
</tr>
</tbody>
</table>
Description

The objective of the vulnerability assessment is to determine the vulnerability of a city or neighbourhood to climate change, depending on the geographical scale that has been selected for the analysis. Vulnerability - defined as a susceptibility to harm or a potential for change or transformation—is constituted of three components: exposure, sensitivity and adaptive capacity.

Participants

This activity is carried out by the technical team. However, data collection and validation of information should be done through a participatory process involving local stakeholders.

Instructions

The assessment of local vulnerability to climate change combines information on the environmental, socio-economic, and institutional context. On the one hand, pre-existing, underlying vulnerabilities related to the socio-economic context, ecosystems and infrastructure will interact with climate change and climate-related hazards enhancing risk and vulnerability. On the other hand, uncertainties about future vulnerability and risks also require following a multiscale approach.

The collection of data, related to climate, people and places, is a prerequisite in order to dispose of the necessary information to analyse the different elements that compose vulnerability. Also, the vulnerability assessment should build on T17 Climate Impact Chain Diagram and T16 Participatory Incremental Mapping (PIM).

Community engagement throughout the steps is highly recommended as participatory data collection methods can help capture the key challenges faced by inhabitants and their perceptions of current and future climate-related risks. Different methods can be used for this purpose: focus group discussions, household surveys, neighbourhood walks with community members, etc. Participatory activities proposed in this tool are marked as "Optional participatory activities". Depending on the time and resources available for the vulnerability assessment, the technical team should assess how many of the participatory activities proposed in this tool can be implemented.

You may want to use the T20 Climate Vulnerability Assessment (Digital Tools spreadsheet) in order to facilitate the completion of the table in each step.

Definitions

<table>
<thead>
<tr>
<th>Component</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exposure</td>
<td>Presence of people, species and ecosystems that could be adversely affected by climate hazards.</td>
</tr>
<tr>
<td>Sensitivity</td>
<td>Degree to which a settlement is adversely or beneficially affected by climate hazards, including its biophysical and socioeconomic elements.</td>
</tr>
<tr>
<td>Adaptive capacity</td>
<td>The ability of a community, settlement or ecosystem to adjust to climate change, moderating potential damages, taking advantage of opportunities and increasing climate resilience.</td>
</tr>
<tr>
<td>Vulnerability</td>
<td>The degree to which people, places, institutions and sectors are susceptible to, and unable to cope with, climate change impacts and hazards.</td>
</tr>
</tbody>
</table>

Tip: The assessment procedure proposed in this tool is only one of many different ways of analysing a city’s vulnerability to climate change impacts. If you wish to go further into understanding the vulnerability of your city, note that different methods exist, which could be used to complete or substitute the tool presented here. Especially those...
cities with greater technical capacity and financial resources may have the opportunity to use additional tools and broaden their methodology, while cities lacking capacity and resources may take a more basic approach.

**Step 1. Hazard identification**

This first step will help to identify and analyse current and projected climate hazards (floodings, landslides, hurricanes, sea level rise, heatwaves, drought, and wildfires) as well as climate variables and their trends (current and future temperature and precipitation patterns). Because some technical work is required to carry out this first step, you might want to bring in someone with technical climate change skills and knowledge. A climate expert from a local university or a government agency can help to gather data, interpret historical trends and project future trends.

1. **Review the climate impact chain diagram and climate-related data (historical and projected).**

2. **Determine which are the climate-related hazards that your city is facing and add them in column 1 of the table below.** For a list of possible hazards, you can refer to the categories defined by the IPCC:

<table>
<thead>
<tr>
<th>Heat and Cold</th>
<th>Wet and Dry</th>
<th>Wind</th>
<th>Snow and Ice</th>
<th>Coastal</th>
<th>Open Ocean</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mean air temperature</td>
<td>Extreme heat</td>
<td>Cold spell</td>
<td>Frost</td>
<td>Mean precipitation</td>
<td>Heavy precipitation and flash floods</td>
</tr>
</tbody>
</table>

3. **For each hazard, summarise the information based on the collected data in Columns 2, 3, 5, 6 and 7 of the table below:**
   - **Column 2:** Indicate the type of hazard in this column. Extreme weather events are those that worsen in severity and extent, and differ from changes to average conditions. Extreme events are things like storms and floods that are increasing in frequency and severity. A change to the average is a linear increase or decrease in precipitation, temperature, sea level rise, etc.
   - **Column 3:** What changes can be observed based on current and historical weather data?
   - **Column 5:** Is the level of change expected to increase at a greater rate in the future? Will it decrease? Remain the same?
   - **Column 6:** How likely is it that the projections will actually occur? If data from the IPCC was used, look for descriptions of "likelihood".
   - **Column 7:** How confident are you about the accuracy of the summary projection? Does the data (evidence) collected support the same conclusion?

4. **Optional participatory activity:** During a workshop, involving members of the technical team and local stakeholders, discuss the local weather-related changes that participants have experienced and observed in their lifetime. Summarise the participants’ experiences and observations and add them into Column 4 of the table below.

5. **As a technical team, building on the T16 Climate Impact Chain Diagram, start thinking about what known vulnerable populations (urban poor, women, youth, elderly etc.) might be exposed to the projected climate changes, and how they might be exposed (e.g. they live in an area exposed to certain climate risks, like exposed coastal areas). In addition to thinking about the people who are exposed, you can also note some**
preliminary ideas about places, institutions and sectors that might also be exposed. Summarise the information in Column 8.

<table>
<thead>
<tr>
<th>Column 1</th>
<th>Column 2</th>
<th>Column 3</th>
<th>Column 4</th>
<th>Column 5</th>
<th>Column 6</th>
<th>Column 7</th>
<th>Column 8</th>
</tr>
</thead>
<tbody>
<tr>
<td>Climate Change Hazard</td>
<td>Extreme Event or Change to Average?</td>
<td>Historical Trends</td>
<td>Climate Model Scenario Projections</td>
<td>Summary Climate Change Projection</td>
<td>Exposure – Preliminary Notes on Who and What</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Drought</td>
<td>Extreme event</td>
<td>Average length of summer dry periods increased by 15 days in last 30 years</td>
<td>Summer droughts lasting 4-5 weeks longer most years</td>
<td>Spring / Summer year 2050: +1.5°C temperature +20mm precipitation -18% soil moisture</td>
<td>Generally increasing trend in length of dry season - Rate of change is uncertain, but expected to rise over time</td>
<td>High</td>
<td>- Farmers – reduced crop yields - City water supply – reduced reservoir levels</td>
</tr>
</tbody>
</table>

**Step 2. Exposure analysis**

Once the list of current and potential future climate and weather hazards has been completed, it is important to understand where these hazards occur (i.e. the exposed locations), who is affected by the hazards (i.e. the exposed persons) and which activities are altered by the hazards (i.e. exposed sectors). This analysis should also look at if these impacts are likely to be aggravated considering projected climate change.

1. **Review the table completed in step 1 and the outputs of the T15 Participatory Incremental Mapping (PIM).**
2. **Fill in Column 1 based on the hazards identified in step 1.**
3. **Based on data and maps, identify hazard areas and exposed features for each hazard. Summarise the information in Columns 2 and 3.** If your city has good geographic information systems (GIS) data and capacity, create maps that illustrate exposed locations, such as flood plains and low-lying areas along the coast that are subject to storm surges and coastal erosion. These maps can be overlain with additional map layers illustrating important exposure variables, like population information (e.g. population density), major infrastructure (major roads, water supply, sanitation, sewerage, bridges), land uses (e.g. residential [housing], industrial, commercial), critical infrastructure (hospitals, major government offices), and key environmentally sensitive areas (coastline, wetlands, water bodies, conservation areas).
4. **Optional participatory activity:** A household survey can be used in order to gather additional information on local exposure to climate change. This survey can help understand what are the most problematic climate-related hazards for households, depending on their location. Additionally, spatial data can be collected in order to capture specific locations in the survey, such as houses, water sources, toilet facilities, and other types of facilities.
5. As a technical team, and if possible with the help of officials from different city departments, identify sectors that are exposed to climate hazards, summarising the information in Column 4. Sectors that should be taken into account are: Environment (landscapes, ecosystems), Social (health and nutrition, disaster risk reduction, education and culture), Infrastructure (water/sanitation, housing/settlements, transportation), Institutional (policies, plans and procedures, fiscal management, linkages between local government, civil society and the private sector) and Economy (primary, secondary and tertiary economic activities, formal and informal activities).

<table>
<thead>
<tr>
<th>Column 1 (From step 1)</th>
<th>Column 2</th>
<th>Column 3</th>
<th>Column 4</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Climate Change Hazard</strong></td>
<td><strong>Hazard Area / Location</strong></td>
<td><strong>Hazard Area – Exposed Features (People, Places, Institutions)</strong></td>
<td><strong>Exposed Sectors</strong></td>
</tr>
</tbody>
</table>
| Drought | - City-wide/Region-wide | - City reservoir, residents and businesses | - Water/Sanitation  
- Economy (formal & informal)  
- Health |
|           | - Agricultural valley | - Farmers (some subsistence), women (majority of farm workers and market sellers) | - Agriculture  
- Economy (formal & informal)  
- Social |

**Step 3. Sensitivity analysis**

The sensitivity analysis will identify how exposed people, places, institutions and sectors are impacted today and the degree to which they could be impacted in the future. It will answer different questions: What places, sectors and institutions are most sensitive to climate change exposure? Who lives in sensitive locations, and how sensitive are they to their exposure? Are there climate change “hotspots”, or specific areas with multiple exposures and sensitivities? What degree of change will trigger a significant impact? Are there specific thresholds of concern?

1. Review the tables completed in steps 1 and 2.

2. Compile data on socio-demographic elements and variables, such as education levels, gender, income and housing conditions. While not all information can always be presented spatially, some data should be captured in maps: location of informal settlements, vulnerable populations densities, major infrastructure and facilities (hospitals, schools, government buildings, ports, airports, etc.), neighbourhoods located in exposed areas, sensitive ecosystems (e.g. mangrove forests, coastal dune habitat).

3. **Optional participatory activity:** Community-based sensitivity mapping can be used to complement and augment the desk-based sensitivity mapping. It provides an opportunity to engage the broader community and vulnerable populations in the sensitivity assessment and to confirm findings at the local level.

4. Based on the information captured, fill in the table below. Note that much of the information is based on tables completed in steps 1 and 2. However, don’t hesitate to update this information based on the findings of step 3.

5. Estimate the threat level and fill in Column 8. This column evaluates how impacted, or how sensitive, the groups identified in columns 4 and 5 would be to the potential climate scenario from column 6. The sample scale presented below can be used by the technical team as an example for defining threat levels.
**High = 5**
- Large numbers of serious injuries or loss of lives
- Regional decline leading to widespread business failure, loss of employment and hardship
- Major widespread damages and loss to environment and infrastructure, with progressive irreversible damage
- Local government services would cease to be effective

**Medium-High = 4**
- Isolated instances of serious injuries or loss of lives
- Regional local economic development impacts and stagnation
- Severe damages and a danger of continuing damage to infrastructure and environment
- Local government services struggle to remain effective and would be seen to be in danger of failing completely

**Medium = 3**
- Small numbers of injuries involving the public
- Significant general reduction in livelihoods
- Isolated but significant instances of environmental and infrastructure damage that might be reversed with intensive efforts
- Local government services under severe pressure on several fronts

**Medium-Low = 2**
- Minor injuries to public
- Individually significant but isolated livelihood impacts
- Minor instances of environmental and infrastructure damage that could be reversed
- Isolated instances of government services being under severe pressure

**Low = 1**
- Appearance of a threat but no actual harm to public safety
- Minor impact on livelihoods
- No or insignificant infrastructure and environmental damage
- Minor instances of disruption to local government services

<table>
<thead>
<tr>
<th>Column 1 (From step 1)</th>
<th>Column 2</th>
<th>Column 3</th>
<th>Column 4 (From step 2)</th>
<th>Column 5 (From step 2)</th>
<th>Column 6 (From step 1)</th>
<th>Column 7</th>
<th>Column 8</th>
<th>Threat level</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Climate Change Hazard</strong></td>
<td><strong>Primary / Secondary Impacts</strong></td>
<td><strong>Hazard Area – Exposed Features</strong></td>
<td><strong>Exposed People</strong></td>
<td><strong>Exposed Places</strong></td>
<td><strong>Exposed Institutions</strong></td>
<td><strong>Exposed Sectors</strong></td>
<td><strong>Exposure (Likely scenario for 20 year planning horizon)</strong></td>
<td><strong>Potential Future Consequences (with no additional climate change planning)</strong></td>
</tr>
<tr>
<td>Drought</td>
<td>- Reduced water supply</td>
<td>- Residents - Farmers (some subsistence), women (majority of farm workers and market sellers)</td>
<td>- City reservoir - Agricultural production sites</td>
<td>- Local water supply agency - Energy Agency and Division of Energy Management</td>
<td>- Water and Sanitation - Economy (formal &amp; informal) - Agriculture - Economy (formal and informal) - Health</td>
<td>- 1°C temperature increase - 15 mm precipitation decrease - 18% soil moisture decrease - Generally increasing trend in length of dry season - Rate of change is uncertain, but</td>
<td>- Subsistence farmers will have reduced incomes – decreased income per person, difficult to reach development goals - Increased rural to urban migration of farmers – potential stresses on city services and infrastructure - Agricultural plan already calls for research into drought resistance crops, could lessen the</td>
<td>High (5)</td>
</tr>
</tbody>
</table>
Step 4. Adaptive capacity analysis

Knowing the exposure and sensitivity of your city to climate change, the next step is to determine how well people, places, institutions and sectors could adapt to these threats. Adaptive capacity includes adjustments in both behaviour and resources/technologies, and can be assessed at different levels: at individual and household level, at community level and at government/institutional level.

1. Collect, review and summarise existing plans, policies and reports that can help to develop an understanding of the adaptive capacities at different levels. This could include information on disaster risk reduction plans and strategies, land use plans, economic development strategies, National Adaptation Plans, etc.

2. Optional participatory activity: During a workshop, involving members of the technical team and local stakeholders, discuss how individuals and households, communities and governments have traditionally responded to extreme climate events and disasters.

3. Organise six working groups in order to elaborate on the adaptive capacity factors for the different climate-related hazards. The working groups should bring together members of the technical team and officials from different city departments.

- Working Group 1 - Wealth: What wealth and financial resources are available to address each hazard?
- Working Group 2 - Technology: What technology and related resources are available to address each hazard?
- Working Group 3 - Institutions: What institutions or teams are addressing each hazard? What policies already exist?
- Working Group 4 - Infrastructure: What infrastructure is available to address each hazard? Can it withstand climate projections?
- Working Group 5 - Information: What is the level of knowledge on each hazard? Is it distributed to the people who need it?
- Working Group 6 - Social Capital: What social capital is available that could address the impacts from each hazard?

4. Summarise the information in the table below. Use a scale from low to high (1 to 5) to assess adaptive capacity relative to each climate hazard. Be sure that all members of the technical team agree to a common definition of what constitutes the low-medium-high score.

5. Calculate the average adaptive capacity score (Column 8) for each hazard by adding the scores from columns 2 through 7 and dividing the sum by the number of factors (6).
### Step 5. Summary review

The summary vulnerability table represents a synthesis of your Vulnerability Assessment, which should help identify the highest priorities. Keep in mind that this is measuring vulnerability – so a high final score indicates high vulnerability and a low score indicates low vulnerability. The relative vulnerability is highest when there is a combination of high threat level and low adaptive capacity.

1. **Use the table below to bring together information from steps 3 and 4.**

2. **Finally, calculate the relative vulnerability by dividing the threat level by the adaptive capacity.**

<table>
<thead>
<tr>
<th>Column 1 (From step 1)</th>
<th>Column 2 (From step 3)</th>
<th>Column 3 (From step 4)</th>
<th>Column 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Climate Change Hazard</td>
<td>Threat Level</td>
<td>Hazard-specific Adaptive Capacity Status</td>
<td>Relative Vulnerability (Threat Level divided by Adaptive Capacity)</td>
</tr>
<tr>
<td>Drought</td>
<td>High 5</td>
<td>3</td>
<td>$5 \div 3 = 1.7$</td>
</tr>
</tbody>
</table>
T21 S.W.O.T. Analysis

Description The Strength, Weaknesses, Opportunities and Threats (S.W.O.T) analysis is a useful tool to review and analyse the data collected from two perspectives: internal factors (strength and weakness) and external factors (opportunities and threats). It helps to define actions by outlining the positive and negative aspects of the city through a visual diagram.

Participants This activity is carried out by the technical team, the advisory committee and key stakeholders.

Instructions

It is important that the facilitators have a clear understanding of what each of the items of the S.W.O.T. analysis is to be able to guide the participants and perform it correctly.

The internal factors are those which the municipality has some control to influence.

- **Strengths** are the advantages of the city and what makes it special. They are the major assets which the city can use to further improve the quality of life for all. Examples: low mortality rates, clean environment, high percentage of green spaces, flexible water infrastructure, good public service coverage (housing, sanitation, etc.).

- **Weaknesses** are the problems of the city and what restricts its development. They are the major challenges the city has to overcome through actions. Examples: high unemployment rates, environmental pollution, high violence levels, high/data gaps on local climate vulnerability, etc.

The external factors are those which the municipality has limited or no control over but needs to be aware of.

- **Opportunities** are the external and hidden assets that can be worked upon to become strengths. Examples: high touristic potential, availability of resourceful companies, financial opportunities in order to finance climate action, etc.

- **Threats** are the external problems that may affect the development to limit their consequences, action must be taken. Example: urban conflicts between groups, poorly constructed housing in seismic zones, shrinking of private business with increased unemployment, coastal areas highly exposed to sea level rise and storms, etc.

Step 1. Introduction

In this step, the planning team will introduce the tool.

1. Explain to the participants that the objective of the analysis is to identify the challenges and opportunities through strengths, weaknesses, opportunities and threats in the city.
2. Explain the definition of strengths, weaknesses, opportunities and threats
3. Set the printed S.W.O.T Analysis printable template on a board where all the participants are able to see it.
4. Provide the participants with pens and coloured sticky notes (one colour for each thematic - e.g. natural environment, economy, etc.).

Tip: For in-person workshops, print the S.W.O.T. Analysis printable template at the end of this tool. For online workshops, prepare similar boards on platforms that enable participation, such as Miro. See the Workshop Checklist (T7) tool for more details.

Step 2. Brainstorming and Analysis
T21 S.W.O.T. Analysis

In this step, participants will identify the main strengths, weaknesses, opportunities and threats. The exercise should cover a good range of themes such as natural environment, economy, health, etc.

1. Ask participants to write down the strengths, reminding them of the presentation and guiding them to think about their own knowledge/experience in the city. After that, ask participants to share their answers, collect their coloured sticky notes and add them to the matrix. Similar answers should be clustered.

**Tip:** Use the following guiding questions to stimulate discussion and brainstorming. Adapt the questions to each thematic.
- What are the city’s advantages?
- What does the city do exceptionally well?
- What are the relevant assets and resources in the city?
- What does the general public and population consider as the city’s strengths?

2. Ask participants to write down the weaknesses. After that, ask participants to share their answers, collect their coloured sticky notes and add them to the matrix.

**Tip:** Use the following guiding questions to stimulate discussion and brainstorming. Adapt the questions to each thematic.
- What could be improved?
- What are the major problems in the city?
- What are the vulnerabilities?
- What makes it hard for the city to be resilient?

3. Ask participants to write down the opportunities. After that, ask participants to share their answers, collect their coloured sticky notes and add them to the matrix.

**Tip:** Use the following guiding questions to stimulate discussion and brainstorming. Adapt the questions to each thematic.
- What opportunities are there to improve life in the city?
- What are the emerging trends you are aware of regarding changes in the government policy, social patterns, population profiles, economic development, lifestyles, etc.?

4. Ask participants to write down the threats. After that, ask participants to share their answers, collect their coloured sticky notes and add them to the matrix.

**Tips:** Use the following guiding questions to stimulate discussion and brainstorming. Adapt the questions to each thematic.
- Are the weaknesses likely to make the city vulnerable?
- What are the external challenges that inhibit development or a better life?
- Are there any significant expected changes in the city?
- Are there economic conditions affecting urban life?

5. When the matrix is complete, discuss each of the statements to validate them. Eliminate repeated ones and those considered irrelevant by consensus.

6. The S.W.O.T. Analysis table is complete. Document the results (take pictures).

**Step 2. Mapping**
T21 S.W.O.T. Analysis

In this step, participants will develop a Constraints and Opportunities Map based on the discussions of the S.W.O.T Analysis (keep the board where everyone can see it).

1. **Divide the participants in small groups. Hand out a basic map of the city and pens of 2 different colours (preferably red and green) to each group.**

2. **Explain that Weaknesses and Threats should be indicated in the same colour (to be called Constraints), and Strengths and Opportunities in another colour (to be called Opportunities).**

3. **Read all Strengths and Opportunities (one by one) and ask the groups to indicate where they are located on the city map.**

4. **Read all Weaknesses and Threats (one by one) and ask the groups to indicate where they are located on the city map.**

5. **Ask each group to present their results and facilitate the discussion.**

6. **Gather the maps developed by the groups.**

7. **Document the results (take pictures).**
**T22 Strategic Development Scenarios Template**

**Description** This tool guides the creation of narratives to describe different development scenarios, taking in consideration the strengths, weaknesses, opportunities and threats that the city faces.

**Participants** This activity is carried out by the technical team and the advisory committee.

**Instructions**

1. Before starting, review the outputs of the T21 S.W.O.T. Analysis. Have a printed version for consultation during the activity.

2. Write down ideas for each of the following scenarios, taking in consideration the strengths and weaknesses of the S.W.O.T. Analysis. Use coloured sticky notes or write down the ideas on a board or paper.

<table>
<thead>
<tr>
<th>Strategic Development Scenarios</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current tendencies scenario</strong></td>
<td>What would the city look like if the current strengths and weaknesses persist? E.g. The city is a large datacenter hub but this has not led to significant local benefits. While economic growth figures are good, job creation is limited to high tech, high-skilled jobs and so unemployment remains stubbornly high. Unequal access to public services, out-migration and income inequality are hallmarks of the region.</td>
</tr>
<tr>
<td><strong>Optimistic scenario</strong></td>
<td>How would the city look if its strengths and weaknesses meet its opportunities? E.g. The city is a technology cluster and successful datacenter community in the whole region. The high environmental ambitions are fulfilled and data centres are part of an innovative, collaborative and diverse local/regional business community. The social transformation has gained speed resulting in an education system that supports the workforce, low unemployment and the integration of immigrants into society.</td>
</tr>
<tr>
<td><strong>Pessimistic scenario</strong></td>
<td>How would the city look if its strengths and weaknesses meet its threats? E.g. The aim and ambitions with the establishment of datacenters in the region fails. They are built but fast data storage technological development makes them quickly redundant. The level of low educated inhabitants and high unemployment increases even further in the region. Social unrest, due to the lack of integration of immigrants and the lack of public funding, occurs. Environmental projects are low-prioritised in favour of handling social issues.</td>
</tr>
</tbody>
</table>

3. Divide participants into smaller groups and use the ideas proposed in the previous step to draft a narrative (paragraph) for each of the scenarios. Use the table below as guidance.

<table>
<thead>
<tr>
<th>Strengths</th>
<th>Weaknesses</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current tendencies scenario</strong></td>
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</tbody>
</table>
T22 Strategic Development Scenarios Template

Description
This tool guides the creation of narratives to describe different development scenarios, taking into consideration the strengths, weaknesses, opportunities and threats that the city faces.

Participants
This activity is carried out by the technical team and the advisory committee.

Instructions
1. Before starting, review the outputs of the T21 S.W.O.T. Analysis. Have a printed version for consultation during the activity.
2. Write down ideas for each of the following scenarios, taking in consideration the strengths and weaknesses of the S.W.O.T. Analysis. Use coloured sticky notes or write down the ideas on a board or paper.

<table>
<thead>
<tr>
<th>Opportunities</th>
<th>Optimistic scenario</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Threats</th>
<th>Pessimistic scenario</th>
</tr>
</thead>
<tbody>
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</tr>
</tbody>
</table>

4. Each group shares their drafted narrative. Then participants discuss to reach consensus on the one they think is more adequate for each scenario.

Tip: Give out three voting dots (stickers) to each participant. Each one places a sticker on the narrative they think most adequate for each of the scenarios (current, optimistic and pessimistic). Select the narratives that have more voting dots and discuss if they are the most adequate ones and why.
T23 Constraints, Challenges and Opportunity, and Suitability Maps

**Description**
This tool guides the elaboration of constraints, challenges and opportunity, and suitability maps, taking into consideration the strengths, weaknesses, opportunities and threats that the city faces.

**Participants**
This activity is carried out by the technical team and the advisory committee.

**Instructions**

1. **Before starting, review the outputs of the data collection, T21 S.W.O.T. Analysis and T16 Participatory Incremental Mapping. Have a printed version for consultation during the activity.**

2. **The project team should combine thematic layers collected during the data collection process (such as environmental assets, historical and cultural buildings or centres, informal settlements, commercial areas, infrastructures, open spaces, social services, etc) and produce a base map to identify and spatialise constraints and opportunities.**

3. **Divide participants into smaller groups and present the map definitions using the table below as guidance.**

<table>
<thead>
<tr>
<th>Maps definition</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Constraints Map</strong></td>
<td>Describe the dynamics and current tendencies scenario in different areas of the city. What are the areas with land use restrictions, high climate vulnerability, infrastructure constraints, lack of services, important characteristics of the city? A constraints map is a useful tool for graphically depicting the land use and environmental constraints that limits the desirable area for development. The map facilitates better tradeoff analysis when considering multiple aspects.</td>
</tr>
<tr>
<td><strong>Suitability map</strong></td>
<td>Identify suitable areas with spatial patterns of requirements, preferences, or predictors of specific activities. The suitability map localises different patterns and characteristics associated with specific typology or land-use. Additionally, the suitable areas for expansion will be based on the T18 Urban Expansion Projections.</td>
</tr>
<tr>
<td><strong>Spatial challenges/opportunity map</strong></td>
<td>Identify and spatialise, based on the S.W.O.T analysis and the spatial analysis, the challenges and opportunities in the city.</td>
</tr>
</tbody>
</table>

4. **Using coloured sticky notes and markers, draw and/or write down the ideas and spatialise the elements into a printed base map, taking in consideration the strengths and weaknesses of the S.W.O.T. Analysis, as well as the results of the spatial analysis.**

5. **Each group presents the final maps. Then participants discuss to reach consensus on the elements for each of them, developing joint constraints and suitability maps.**

**Tip:** Give out three voting dots (stickers) to each participant. Each one places a sticker on the elements on each of the maps they think are more important. Discuss those that have more voting dots and consolidate them into final maps. These can be systematised by the technical team after the activity.
T24 Strategic Visioning Workshop Guide

Description This tool guides the Strategic Visioning Workshop, in which the vision, goals, and targets for the Strategic Development Plan are developed. The workshop can take place in one day or can be divided into two days (Step 2 in Day 1, and Step 3 in Day 2).

Participants This activity is carried out by the technical team, the advisory committee, the steering committee, and other key stakeholders.

Instructions

Step 1. Formulate a Vision (Workshop - Part 1)

This is the first part (or Day 1) of the workshop. The strategic vision is defined for a specific time frame (e.g. By 2030) and it is composed of four components: image, purpose, mission, and values.

1. In plenary, the technical team shares a presentation that includes:
   - The key takeaways and considerations from the Matrix of References.
   - The outputs of previous planning activities that are relevant to formulate the vision of the city (City Profile report, T21 S.W.O.T. Analysis, T16 Participatory Incremental Planning (PIM), T15 Matrix of Functions (MoF), etc.)
   - The definition of the vision and its four components.

2. Divide participants into smaller groups, according to the Sustainable Urban Development 5/6Ps (People/Planet/Partnerships/Prosperity/Peace/Planning). Ensure diversity according to sectors, organisations, committees, gender, age, etc.
   - People: this group should look at issues related to poverty, health, culture, education, and the place of vulnerable people within the city (people with disabilities, migrants, women and children).
   - Planet: this group should concentrate on issues regarding ecosystem conservation and climate change mitigation and adaptation, taking into account the results of the vulnerability assessment, if one has been conducted.
   - Partnerships: this group should look at current and possible partnerships with private or public stakeholders, members of the civil society, academia and regional/international organisations, as well as issues related to governance and participation.
   - Prosperity: this group should discuss issues related to the local and regional economy, including the formal and informal sectors, industry inputs (e.g., energy, labour) and outputs (e.g., products, waste), and gender equality in the work environment.
1. Peace: this group should consider issues related to conflicts (local, regional or national), crime, domestic violence, and law enforcement.

2. Planning: this group should consider the physical urban structure and elements of the city.

3. Participants brainstorm ideas for each of the vision components (puzzle pieces) using the guiding questions below. Use coloured sticky notes and consolidate them on a larger board or piece of paper.

   **Tip:** The guiding questions can be adapted according to the Strategic Plan’s objective (for example, if the vision is not defined for the whole city but for a specific sector, intervention area, for a new public space, etc.). Additionally, the group thematics can be changed, for example, according to the main findings in the analysis and diagnostic. To make it a more participatory process and include more perspectives in the formulation of the city’s vision, this information can be previously collected from the city’s residents. This can be done by, for example, using a survey, making interventions in public spaces where people can leave their comments, inviting citizens to send videos in which they describe their vision of the city, etc. The data gathered is systematised before the Visioning Workshop and is shared with participants to use as input for this activity.

<table>
<thead>
<tr>
<th>Vision</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Image</strong></td>
<td>How would you like your city to be in 2030? E.g. sustainable, safe, prosperous, resilient, etc.</td>
</tr>
<tr>
<td><strong>Purpose</strong></td>
<td>What is the city’s purpose? How does it serve its inhabitants? E.g. better quality of life, equitable opportunities for all, inclusion, etc.</td>
</tr>
<tr>
<td><strong>Mission</strong></td>
<td>What actions should be taken to reach that purpose in the defined time frame? E.g. participation, clear governance structure, etc.</td>
</tr>
<tr>
<td><strong>Values</strong></td>
<td>What convictions and beliefs should guide the city’s actions? What are the values that define the city’s identity? E.g. strengths of the city’s identity, participative and engaged communities, etc.</td>
</tr>
</tbody>
</table>

4. Each group uses the ideas gathered to formulate a sentence (the vision) that describes and represents their future city. This is written down on a large piece of paper.

**Examples**

- By 2030, San Nicolás de los Garza is a safe, innovative, exemplary, participatory, inclusive, sustainable, and resilient city focused on providing equal opportunities and improving the quality of life for all people, through a model of participatory governance, community leadership, and co-responsibility guided by its pride, identity and history.
- By 2030, Bissau will be a socially inclusive city with a sustainable urban development which is compact and resilient to climate change, functioning as a catalyst for the country’s economic development.

5. Each group selects one member to share their vision with the rest of participants. All visions are compiled on a board so everyone can see them.

6. Participants have a facilitated discussion on all the proposed visions, giving their feedback and opinions. Then, they vote on the version they think is best (it can be one or two visions). They can also merge some of the proposed visions and create a new one.

   **Tip:** Give out one or two voting dots (stickers) to each participant. Each one places a sticker on the vision they think is best. The two versions that have more voting dots are selected. Ideally, and for a more participatory process, the two selected versions are shared with the rest of the city (e.g. using a survey, a public hearing, etc.) so all citizens can have an opinion and vote on the vision they think is more adequate. Step 3 is then carried out as a second workshop once the vision is defined.
Step 2. Define Goals and Targets (Workshop - Part 2)

After the vision is determined, a set of goals and targets are defined. While the goals are the main topics of the Strategic Development Plan, the targets are specific objectives of the plan. The goals and the targets should make linkages with the Sustainable Development Goals (SDGs), the New Urban Agenda or any national framework.

1. Divide participants into smaller groups, according to the Sustainable Urban Development 5/6P's (People/Planet/Partnerships/Prosperity/Peace/Planning), or any other thematic areas established. Ensure diversity according to sectors, organisations, committees, gender, age, etc.

2. Participants define the main issues related to each sector of the 6 P's based on the Analysis and Diagnostic outputs.

3. Participants brainstorm possible goals for the city, based on the main issues, legal framework/ documents' matrix. These should be short and linked to specific subjects (e.g. "green mobility", "resilient public spaces", “affordable housing for all", "inclusive and equitable city", "participative, vibrant and cultural city", etc.). Ideas can be grouped into similar topics.

   **Tip:** An alternative version of this step can be that each group is assigned a pre-established topic (e.g inclusive and equitable city, prosperous and diverse city, etc.). These can be selected according to the diagnostic findings, participatory activities, and/or specific SDGs the city wants to focus on. Then, participants in each group brainstorm concrete goals linked to each topic.

4. Participants propose possible initiatives, actions, or programs aligned to each goal or topic. These will be then translated into targets.

   **Tip:** Use the following guiding questions to facilitate the brainstorm:
   - What is the proposed initiative? E.g. If the topic is "resilient and green city", some initiatives could include: implementation of nature-based solutions, leverage green and blue infrastructure, resilient public space, early warning system, environmental sensibilization, etc.
   - Who would be in charge of the implementation? E.g. municipal government, NGO, etc.
   - When could this be achieved? E.g. short, medium, long time frame.
   - Are there any barriers to achieve the initiative?
   - Are there known examples (local or international) of similar initiatives to learn from?

5. Each group shares their results in plenary, collecting feedback or any other ideas that come up. The notetaker should document the discussion.

6. After the workshop, the technical team systematises the collected information, defining the goals and specific targets. Targets result from the initiatives proposed during the workshop but can also be complemented with others related to the diagnosis findings or other participatory activities.

Example of Goal and Targets

| Goal | Green and resilient city: facilitate the sustainable management of natural resources in the municipality in order to protect and optimise the urban ecosystem. This goal promotes, among other issues, the creation of... |
a system of quality public spaces (open, safe, inclusive, accessible and green) for multiple purposes to increase the city’s resilience to climate change and natural disasters.

<table>
<thead>
<tr>
<th>Targets</th>
</tr>
</thead>
<tbody>
<tr>
<td>● By 2030, transform grey infrastructures to integrate the blue-green ecosystems of the municipality, through nature-based solutions, in pursuit of environmental urban balance, climate change adaptation and mitigation.</td>
</tr>
<tr>
<td>● By 2030, consolidate the network of public spaces, creating new public spaces in deficient areas, as well as interconnections and urban transects between existing public spaces.</td>
</tr>
<tr>
<td>● By 2030, strengthen environmental governance and awareness, coordination and stakeholder engagement to foster resilience to natural hazards, risk reduction, health crises and protection of natural areas.</td>
</tr>
</tbody>
</table>
T25 Monitoring and Evaluation Framework

Description
This tool aims to establish the indicators linked to the goals and targets established in the Strategic Visioning Workshop, building on the International and National agendas, in order to monitor the overall progress of the plan.

Participants
This activity is carried out by the technical team.

Instructions:

1. Review the results of the Strategic Visioning Workshop (Activity 17) (vision, goals and targets).

2. Use the Monitoring and Evaluation Framework example at the end of this tool to compile all the goals and targets defined in the Strategic Visioning Workshop. Review the International Agendas and frameworks (See T3 Matrix of References) such as the following, linked to the targets and goals:

   a. New Urban Agenda
   b. Sustainable Development Goals (Agenda 2030)
   c. Voluntary National Reviews (VNR)
   d. Paris Agreement
   e. Addis Ababa Action Agenda
   f. Sendai Framework
   g. SAMOA Pathway
   h. Agenda 21
   i. New Urban Agenda
   j. City Prosperity Index (CPI)
   k. National Determined Contributions (NDCs)
   l. National Action Plans (NAPs)

3. List and select all relevant indicators from the global agendas and national and regional strategies. Have a printed version for consultation during the activity.

   Tip: Targets should be linked to global, national, regional and local Agreements and Plans. It is recommended that each goal is related to at least one of the 17 SDGs in order to be as inclusive as possible. Many of these indicators already have national, regional or city baselines set up by existing plans.

4. Define clear and measurable indicators and their source for each target. These should be aligned with regional and national plans and linked to the International Agendas and frameworks.

   Tip: Ideally, indicators are linked to the Agenda 2030 or another International Agendas. However, they should be defined according to the feasibility of measuring and monitoring them. If an indicator is defined as ideal but there are no capacities to measure it, then it is better to define another more aligned to the type of data the city is already collecting. Reflect on the following questions:
   - Is this indicator a priority?
   - Has it ever been collected? Does it have a baseline?
   - What is the strategy for the data collector?

4. Define the institution in charge of measuring the indicator, the calculation needed to evaluate it, and establish a baseline to measure its progress.

5. Define a timeframe to monitor the achievement of these indicators throughout the process and after the
To measure the achievement of the established goals and targets, you may refer to universal or national standards, verify the municipality performances (higher, lower, same values) and monitor the change rate (+\%- %) of the indicator each year (or establish another monitoring period). For instance, WHO recommends 9m² of green coverage per person within the city boundary to improve mental and physical health among other benefits. The municipality should measure the amount of green coverage every year and divide it into the total population of the same year.

Monitoring and Evaluation Framework Example.
Follow the table structure and add as many goals and targets as needed.

<table>
<thead>
<tr>
<th>Goal 1: Prosperous and Diverse City</th>
</tr>
</thead>
<tbody>
<tr>
<td>Spatial development strategies that prioritise urban renewal through the planning of accessible infrastructure and services, the achievement of sustainable population densities, compact design, and the integration of new neighbourhoods into the urban fabric, preventing uncontrolled growth and marginalisation.</td>
</tr>
</tbody>
</table>

| Target 1 | By 2030, 100% of the dwellings located in the area of influence of Parque de la Equidad will have adequate drinking water, sanitation and electricity coverage. |
| Indicator | 2.2.1: Proportion of population living in households with access to basic services (SDG 1.4.1) |
| Source of indicator | Sustainable Development Goals (SDGs) |
| Institution in charge of data collection | Population and Housing Census - National Institute of Statistics and Geography (INEGI) |
| Calculation | Dwellings with basic service coverage / Total number of dwellings |
| Baseline | According to the 2020 Census, there are 66,050 dwellings in the area of influence, of which 57,728 have service coverage. Therefore, 87.40% of the total housing units have basic service coverage. |
| Monitoring period | Every 5 years (National Census) |

| Target 2 |
| Indicator |
| Source of indicator |
| Institution in charge of data collection |
| Calculation |
| Baseline |
| Monitoring period |
**T26 Thematic Issues Checklist**

**Description** This checklist aims to ensure that the cross-cutting dimensions of social inclusion (human rights, gender, children, youth and older persons, and persons with disabilities) and areas of resilience and safety are integrated into all the steps of the planning phase.

**Participants** This activity is carried out by the technical team.

**Instructions**

*Review all the components of the plan — including the strategies, recommendations, policies, incentives, and land mechanisms — and evaluate them according to how much they consider the following cross-cutting issues and target groups.*

<table>
<thead>
<tr>
<th><strong>Social Inclusion</strong></th>
<th>1 = not targeted at all</th>
<th>2 = incidentally targeted</th>
<th>3 = targeted</th>
<th>4 = Strongly targeted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Women</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Older persons</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Adolescents, children and youth (especially girls and young women)</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Persons with physical disabilities</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Persons with mental health conditions</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Migrants, refugees, stateless and internally displaced persons</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Minorities</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Slum dwellers, people in informal settlements, homeless persons</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>People living with human immunodeficiency virus infection and acquired immune deficiency syndrome (HIV/AIDS) and other people with pre-existing medical conditions</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>People in extreme poverty or facing insecure and informal work/income</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups that are particularly vulnerable and marginalized because laws, policies and practices do not protect them from discrimination and exclusion (e.g. LGBTQIA people)</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Persons in detention or in institutionalised settings (e.g. persons in psychiatric care, drug rehabilitation centres, old age homes)</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Specific populations/groups as relevant in the national context</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Informal sector and self-employed who depend on markets for food as well as small farmers, fishers, pastoralists, etc. □ 1 □ 2 □ 3 □ 4

**Resilience**

How much does the plan, its strategies, recommendations and regulatory directives address each of the five pillars of urban resilience presented below?

- **URBAN GOVERNANCE** refers to the processes and structures that allow all local actors participating in the decision making process and influencing public policies and strategies for improved urban planning, management and development.
- **URBAN PLANNING AND ENVIRONMENT** includes all aspects related to planning and design of the urban space, the quality of the natural environment (air, water, soil), public/green spaces and climate change.
- **RESILIENT INFRASTRUCTURE AND BASIC SERVICES** refers to the urban “hardware” and includes, among others: streets and roads, bridges, drainage, water and electricity supply, sanitation and solid waste management, hospitals, schools, etc.
- **URBAN ECONOMY AND SOCIETY** refers to the processes, mechanisms and activities that allow cities to becoming drivers of socio-economic development in a country or region, by creating jobs, increasing households’ income, generating investments, reducing social tensions and crime, increasing equality and inclusion, promoting social mix, and enhancing security and safety, among other aspects.
- **URBAN DISASTER RISK MANAGEMENT** refers to the ability of the local government and communities, in terms of capacity, knowledge, processes and systems in place, to prevent, anticipate, respond to, and recover rapidly from the impacts of natural or manmade threats in the city.

<table>
<thead>
<tr>
<th></th>
<th>1 = not targeted at all</th>
<th>2 = incidentally targeted</th>
<th>3 = targeted</th>
<th>4 = Strongly targeted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Urban governance</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Urban planning and environment</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resilient infrastructure and basic services</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Urban economy and society</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Urban disaster risk management</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Safety**

To what extent are the items below considered in the plan, its strategies, recommendations and regulatory directives?

<table>
<thead>
<tr>
<th></th>
<th>1 = not targeted at all</th>
<th>2 = incidentally targeted</th>
<th>3 = targeted</th>
<th>4 = Strongly targeted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equal access to basic services, public spaces and mobility</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Crime prevention</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Violence prevention</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Inequality reduction</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Promotion and preservation of jobs and livelihoods</td>
<td>□ 1 □ 2 □ 3 □ 4</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
T27 Spatialisation of the Strategic Vision Workshop

**Description** This tool aims to spatialise the vision and goals established in the Strategic Visioning Workshop, mapping concrete proposals and actions in specific areas of the city. Per each goal, a thematic map will be developed, integrating different aspects and strategies in the territory.

**Participants** This activity is carried out by the technical team, the advisory committee, the steering committee, and other key stakeholders.

**Instructions**

**Step 1. Assess all the information and data collected from previous activities (Workshop - Part 1)**

This is the first part (or Day 1) of the workshop. The objective is to have an overview of all the products already developed in previous activities.

1. **In plenary, the technical team shares a presentation that includes:**
   - The outputs of previous planning activities that are relevant to formulate the vision of the city (City Profile report, T21 S.W.O.T. Analysis, T16 Participatory Incremental Planning (PIM), T15 Matrix of Functions (MoF), etc.)
   - The Strategic Vision (Activity 17) and Monitoring and Evaluation Framework (Activity 18).

2. **Divide participants into smaller groups, each one focusing on one of the goals established in the vision. Ensure diversity according to sectors, organisations, committees, gender, age, etc. The participants will be divided based on their expertise and institutions, creating a good relationship to debate and propose different ideas.**

   **Tip:** To divide the groups, use the results from the T12 Stakeholders’ Mapping to make sure the discussion can be fluid, including more perspectives and promoting discussions from different institutions and point of views.

**Step 2. List of actions and projects for each goal**

3. **Using the results from the T21 S.W.O.T analysis, participants discuss and prioritise the problems and challenges that need to be addressed to respond to the thematic area or goal. In general, it is important to discuss what they want to change and why they want to change it.**

4. **Building on the results and discussions of the Strategic Visioning Workshop (Activity 17), participants brainstorm ideas to address each goal and identify possible projects and actions. Do a list of actions per goal and identify if it is a project, programme or policy.**

5. **For each problem or challenge, participants should identify action or actions that will solve or improve those conditions and where within the city this action can be located.**
Example - List of actions

<table>
<thead>
<tr>
<th>Goal 1: Compact and Vibrant City</th>
</tr>
</thead>
<tbody>
<tr>
<td>Targets</td>
</tr>
<tr>
<td>---------</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

Step 2. Spatialisation and mapping process

6. Each group reviews the projects and actions. Using one base map per goal, participants identify the area(s) where these projects and actions could be implemented. Some initiatives can also have different areas of interventions and the group can prioritise the actions.

Tip: Use the following guiding questions to facilitate the brainstorm:
- What are the main challenges we need to respond to achieve the goal?
- What is the proposed initiative?
- Is there any similar project or initiative already in place? If so, who is working on it?
- Who would be in charge of the implementation? Who are the stakeholders with capacity/ expertise on this topic? E.g. municipal government, NGO, etc.
- When could this initiative start? E.g. short, medium, long time frame.
- Are there known examples (local or international) of similar initiatives to learn from?

Example San Nicolas de los Garza, Mexico
T28 Sustainable Development Structure Guide

**Description** This tool guides the development of the conceptual structure of the city, including the definition of the new urban perimeter and the transformation and consolidation zones.

**Participants** This activity is carried out by the technical team, but can be developed as a workshop including the advisory committee members.

**Instructions**

1. Review the outputs of the Assessment Phase and the Diagnosis (Activity 16) taking a look at the spatial structure and pattern of urban growth. Use this consolidated map that includes the paths, edges, landmarks, and nodes as a base map for this activity.

2. Review the results from the Spatialisation of the Strategic Vision (Activity 19).


4. Use a map of the city to define the new urban perimeter and classify the land into urban area, urban expansion, and rural area according to the definitions and example map below.

**Tip:** Analyse the possible directions of urban expansion and take in consideration the population growth projection and the amount of land needed to achieve an adequate population density for the local context (100-200 inhab/ha) and an adequate proportion of public spaces (30-45%). The limit could be informed by existing administrative limits or physical elements such as topography, waterbodies, major infrastructure, natural landscapes, etc.

**Definitions**

<table>
<thead>
<tr>
<th>Land Use</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Urban area</td>
<td>Land that has already been subdivided into plots (formally or informally) or land contained by an existing or former urban perimeter.</td>
</tr>
<tr>
<td>Urban expansion</td>
<td>Land within the city limits destined for urban expansion. This is land that has not been urbanised or subdivided into plots yet, and is located outside the existing or former urban perimeter.</td>
</tr>
<tr>
<td>Rural area</td>
<td>Land that has not been urbanised or subdivided into plots, outside the newly defined urban perimeter and within the city limits.</td>
</tr>
</tbody>
</table>

**Example:**

![Example Map](image)
5. For the urban and rural areas, define the areas of transformation and consolidation, and classify them into strategic transformation zones, social transformation zones, cultural consolidation zones and environmental consolidation zones using the guiding questions below.

<table>
<thead>
<tr>
<th>Strategic Development Zones</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Transformation Zone</strong></td>
</tr>
<tr>
<td><em>In urban areas where the infrastructure capacity and the land occupation are balanced and/or there are no predictable or justifiable major changes in the current urban fabric and urban form.</em></td>
</tr>
<tr>
<td><strong>Strategic Transformation Zone</strong></td>
</tr>
<tr>
<td>Prime land within the urban area and the urban expansion area reserved for strategic urban functions. These include economic and income generation functions (industrial, tourism, manufacturing, etc), as well as areas surrounding infrastructure nodes with relevant functional landmarks and a conversion of important paths.</td>
</tr>
<tr>
<td><strong>Social Transformation Zone</strong></td>
</tr>
<tr>
<td>Land within the urban area and the urban expansion area destined for adequate and affordable housing. This includes rental houses, slum upgrading, incremental housing, self-build schemes, displacement settlements, among others. The functions should be aligned with national and local housing policies and promote the ‘housing at the centre’ principle.</td>
</tr>
<tr>
<td><strong>Adaptation Transformation Zone</strong></td>
</tr>
<tr>
<td>Land with potential for urban development, but vulnerable to climate change. Here, a combination of green, blue and grey infrastructure and social infrastructure (housing, hospitals, public spaces) will contribute to enhanced climate resilience.</td>
</tr>
</tbody>
</table>

| **Consolidation Zone**                      |
| In urban areas where there is a mismatch between the infrastructure capacity and land occupation and/or where substantial changes in the current urban fabric and urban form are predicted. |
| **Cultural Consolidation Zone**             |
| Land that contains relevant cultural landmarks, such as historical centres, cultural heritage, degraded areas with cultural value, areas of cultural leisure and tourism. A diverse range of management and development policies are put in place to safeguard tangible and intangible cultural heritage and landscapes, and protect them from potential disruptive impacts of urban development (NUA, pg. 124). |
| **Environmental Consolidation Zone**        |
| Land that contains relevant environmental landmarks, such as water bodies’ buffer zones, wetlands, public parks, environmental sensitive areas, etc. A diverse range of management and development policies are put in place to ensure the environmental function of land and the environmental conservation and resilience of the urban ecosystem. This integrates multiple approaches such as environmental protection, sustainable use, disaster risk reduction, ecosystem-based adaptation, and specific strategies for coastal areas and water bodies. This will also enhance climate adaptation through green and blue infrastructure. |

6. Consolidate a map that integrates the new conceptual structure of the city and the development zones.

7. Validate the results with the advisory and steering committee.
T29 Spatial Strategies Guide

**Description** This tool guides the application of the spatial strategies and the strategic density in the sub-zones of the city, including their definition.

**Participants** This activity is carried out by the technical team and validated with the advisory committee.

**Instructions**

**Step 1. Apply spatial strategies to sub-zones**

1. Review the urban perimeter and the development zones defined in the previous activity.
2. Use the development zones or sub-zones to allocate spatial strategies.
3. Identify spatial strategies (extension, densification, regeneration, conservation), using the guiding questions below.

   a. Is this area located within the existing urban perimeter?
   b. Is this area foreseeing current trends of urbanisation of the city? Is there any presence of informal development already?
   c. What is the current density of the area in relation with the average density of the city?
   d. What is the current infrastructure capacity of the area? Is it well-connected with the city centre? Is it adequately served by public transport? Is the area adequately provided with basic services? Does it suffer from traffic congestion or electricity/water shortages?

<table>
<thead>
<tr>
<th>Development Strategy</th>
<th>Applicable for</th>
<th>Implications</th>
</tr>
</thead>
</table>
| Extension            | Transformation zones, in areas outside the existing urban perimeter with no infrastructure capacity and no land occupation, meeting the current trends of growth of the city | ● Considerable changes of land use  
                      |                                                                    | ● Integration of infrastructure  
                      |                                                                    | ● Considerable density additions |
| Densification        | Transformation zones, in areas where infrastructure capacity is high and land occupation and density are low | ● Almost no changes of land use, only integration of compatible functions  
                      |                                                                    | ● No need of infrastructure integration  
                      |                                                                    | ● Considerable density additions |
| Regeneration         | Transformation zones, in areas where infrastructure capacity is low and land occupation and density are high – slum upgrading, land readjustment and rehabilitation plans | ● Moderate changes of land use  
                      |                                                                    | ● Integration and rehabilitation of infrastructure  
                      |                                                                    | ● Moderate density additions |
| Conservation         | Consolidation zones, in areas with cultural or environmental land occupation and needs of protections from the growth of the city | ● Almost no changes of land use  
                      |                                                                    | ● Integration and rehabilitation of infrastructure  
                      |                                                                    | ● Almost no changes or reduction of density |

*Tip: The spatial strategies apply to sub-zones within the transformation and consolidation zones. Only the territory that has limited infrastructure capacity, unbalanced land occupation or urbanisation risks, is assigned with a spatial strategy.*
Step 2. Define the strategic density

1. Review the projected population calculated in the Block D (see Data & Map Checklist).
2. Identify the central districts and the main mobility axes, considering the current trends of development.
3. Define what high, medium and low density mean for your context and city.
4. Identify strategic density areas, using the following guiding questions.
   a. What is the current density of the city?
   b. What would be the average density of the city needed to absorb the projected population of the next 15 year and more?
   c. How is the existing urban landscape of your city? Is there available land within the central districts? How many stories are the buildings on average?
   d. Does the city have adequate availability of public land for streets and open public spaces (45%) and urban green spaces (a minimum of 9m² per inhabitant)?
   e. Where are the central districts? What are the main axes of mobility? Where are the current trends of urbanisation going?
   f. Which areas are particularly vulnerable to climate change impacts (eg. inundation, heat island effect, etc.)?

<table>
<thead>
<tr>
<th>Density (inhab/km²)</th>
<th>Where</th>
</tr>
</thead>
<tbody>
<tr>
<td>High</td>
<td>15,000 Business area, commercial area within the central districts and along the main mobility axes.</td>
</tr>
<tr>
<td>Medium</td>
<td>10,000 Mixed-use and residential areas close to the central districts and the main mobility axes.</td>
</tr>
<tr>
<td>Low</td>
<td>6,500 Industrial and low density residential areas in the periphery of the city and disconnected with the main mobility axes.</td>
</tr>
</tbody>
</table>

**Tip:** The densities chosen will have to take into account the cultural context, the availability of land, the population growth and climate change scenarios, the specific nature of the land, the land market value, the technical capacities for building and the legal requirements for FARs and land uses. Note that the densities proposed here above are recommended by UN-Habitat (2015). However, these are indicatives and could not fit specific contexts with particularly low densities and minor projected growth. Furthermore, it should be considered that higher density can increase local vulnerability to climate hazards, which are likely to become more frequent and more intense as a result of climate change. Thus, in some cases, moderate density in combination with green infrastructure could be the most effective form. More accurate densities could be tailored by the local government considering the above indications. E.g. If the current urban landscape has an average of 1-storey buildings, then an area with 5-6 stories buildings is already considered a high density neighbourhood and higher densities should be discouraged.

5. Prepare a map showing the proposed strategic density using a clear legend of colour and hatches that can be overlapped with the spatial strategies and the development zones. (e.g. use red to indicate extension in strategic transformation zone, purple for extension in social transformation zones, green for conservation in environmental consolidation zone + hatches for high, medium or low density, etc.)
T30 Environmental and Social Scoping Report Template

**Description** This tool aims to identify the key environmental and social issues to be studied in the ESIA or ESAP, specifying where they will be studied (area of influence of the project) and how they will be studied (methodologies and techniques).

**Participants** This document is developed by the project leader and the preliminary technical team. Representatives of the local government, potential key stakeholders, and partners should be involved in the process to provide their input and feedback.

**Instructions**

Gather and review the documents of the city plan and use the guiding questions below to prepare the Scoping Report for the Planning Process.

1. **INTRODUCTION OF THE CITY PLAN**
   - Provide a brief description of the project (city plan). Tip: use the content from the Context of the project, in T9 Guiding Document.
   - List the stakeholders involved and the strategies to better integrate each of them in the planning process.
   
   Tip: use answers from T12 Stakeholders Mapping and T10 Environmental and Social Screening Report Template.

2. **REFERENCE FRAMEWORK OF THE PLANNING**
   - Focused on the environmental and social-environmental regulation

   2.1 Local laws and regulations
   - Is there a Law or Act in the country which deals with Human Rights, Gender Equality, Social Inclusion, Migrants, Refugees, Indigenueous people and other vulnerable groups etc.? If there is a standard, list the requirements and processes included.
   
   Tip: use answers from T2 Urban Legislation Assessment.

   2.2 International Standards the planning process need to comply
   - Does the project need to comply with any environmental or social international standard (or a donor) such as the IFC Performance Standards, UN standards, Donor E&S standards or framework? If there is a standard, list the requirements and processes included.

3. **KEY ENVIRONMENTAL AND SOCIAL ISSUES**
   - Describe the level of risk (occurrence and potential severity) of each environmental and social risk that can impact the planning process and the people involved.
   
   Tip: use the answers and the list of risks from the T10 Environmental and Social Screening Report Template.

4. **STAKEHOLDER ENGAGEMENT**
   - Make a preliminary list of stakeholders that should be engaged in the planning process (e.g. specific community, government bodies, non-government institutions.)
   
   Tip: Use the T12 Stakeholders Mapping results as a guide.
5. ENVIRONMENTAL AND SOCIAL BASELINE SITUATION

5.1 Setting the area of influence

- Identify areas where the impact of the planning process can potentially occur. These refer to the areas where the planning activities, facilities, structures will be performed.

5.2 Baseline Studies

- Look at the preliminary list of stakeholders and the area of influence of the activities and identify all the potential impacts and risks. Use the list below for reference and add other issues according to the need.

The activities of planning process can impact or put in risk the:

Environmental impacts:
- Air quality.
- Noise.
- Hydrology and hydrogeology.
- Aquatic flora and fauna.
- Terrestrial flora and fauna.
- Ecosystem services.
- Endangered species, sensitive habitats and other ecological (sensitive) areas.
- Landscape.
- Other: .........................................
- Other: .........................................

Social impacts:
- Road and transport infrastructure.
- Public utilities and services.
- Community structures
- Tensions between different groups
- Employment and income.
- Socio-economic activities.
- Cultural heritage (e.g., historical properties).
- Public health.
- Recreation.
- Labour and working conditions.
- Other: .........................................

*All impacts need to be identified, whether they are beneficial or adverse, short or long-term, temporary or permanent, direct or indirect, local or transboundary.

5.3 Methodology of the ESIA

Only necessary if an ESIA is required.

- Identify and list international and local good practice on impact assessment. Consider techniques to measure the extension and probability (e.g., extension, probability, duration, reversibility, intensity, synergic or cumulative nature, etc.).

- For each impact identified in the baseline study, determine the methodology and fill the box below.

*The methodology should consider the source of impact, the relation with other baseline aspects and the indicators to assess the extension of the impact.

Impact title (add title from 5.2. Baseline Study):

Impact description (include extension, probability, duration, reversibility, intensity, synergic or cumulative nature, etc.).

Area of influence (may be a map and list of stakeholders involved):
Methodology (list the activities, methods and procedures available in your local context to develop the assessment as well as the indicators that will be used).
T31 Environmental and Social Action Plan Template

**Description** This tool aims to define a plan to manage and monitor the risks and impacts of the activities during the urban planning for the projects of low risks.

**Participants** The ESAP is developed by the project leader and the preliminary technical team. Representatives of the local government, potential key stakeholders, and partners should be involved in the process to provide their input and feedback.

**Instructions**

The Environmental and Social Action Plan comprises a presentation of the project, and the Environmental and Social Management Plan (ESMP) and the list of stakeholders to be involved.

*Use the information from T30 Environmental and Social Scoping Report Template to present the project. After that, the team should meet, discuss and define the ESMP. When the information is collected and the measures are defined, share the ESAP for approval signatures.*

**Copy from the Scoping**

1. INTRODUCTION OF THE PROJECT

2. REFERENCE FRAMEWORK
   Focused on the environmental and social-environmental regulation
   2.1 Local laws and regulations
   2.2 International Standards the planning process need to comply

3. KEY ENVIRONMENTAL AND SOCIAL ISSUES

4. STAKEHOLDER ENGAGEMENT

5. ENVIRONMENTAL AND SOCIAL BASELINE SITUATION
   5.1 Setting the area of influence
   5.2 Baseline Studies
Develop the ESMP

6. CONTENT OF EACH MEASURE
Tip: Replicate the table below for each measure

<table>
<thead>
<tr>
<th>MEASURE 1 (Add title)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental or social aspects affected by the impact</td>
</tr>
<tr>
<td>Associated impact (Identified and assessed in the Scoping Report)</td>
</tr>
<tr>
<td>Project/programme phase</td>
</tr>
<tr>
<td>Type of measure (Avoidance or mitigation)</td>
</tr>
<tr>
<td>Name of the measure</td>
</tr>
<tr>
<td>Objective</td>
</tr>
<tr>
<td>Description</td>
</tr>
<tr>
<td>Location for the implementation (Project/programme area, area of influence or other)</td>
</tr>
<tr>
<td>Method of implementation</td>
</tr>
<tr>
<td>Timeframe</td>
</tr>
<tr>
<td>Monitoring (Indicator, means of verification and frequency)</td>
</tr>
</tbody>
</table>

7. MONITORING PLAN Overview of all measures

<table>
<thead>
<tr>
<th>Measure title</th>
<th>Monitoring Indicators</th>
<th>Means of verification</th>
<th>Frequency</th>
<th>Roles and responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

8. STAKEHOLDER ENGAGEMENT
List the steps, actions and tasks to undertake with each of the stakeholders identified in the table of the 7. Monitoring Plan.

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
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<tr>
<td></td>
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</tr>
</tbody>
</table>
**T32 Strategic and Catalytic Projects Workshop**

**Description** This tool guides the identification, prioritisation, and spatialisation of the catalytic actions and strategic projects of the plan, linked to the goals and targets defined in the vision.

**Participants** This activity is carried out by the technical team, the advisory committee, the steering committee, and other key stakeholders.

**Instructions**

**Step 1. Review previous outputs**

1. In plenary, the technical team shares a presentation that includes the following elements. Have printed versions of the materials for consultation during the workshop.
   - The key findings from the analysis and diagnosis, and the Environmental and Social Screening Report.
   - The vision, goals, targets, and indicators, and the Spatialisation of the Strategic Vision (Activity 19) maps.
   - The constraints, challenges and opportunities, and constraints map, the conceptual structure and the spatial strategies.

2. Participants discuss what are the priority areas of intervention within the city, based on the previous presentation.

**Step 2. Identification and prioritisation of catalytic actions and strategic projects**

1. Set thematic stations (tables or areas in the space where the workshop takes place) according to the defined goals in the vision (e.g. Green and resilient city, Inclusive and equitable city, Prosperous and diverse city, etc.). Each station should have a title (goal or theme), a blank large paper or a board, coloured sticky notes, and the map produced in the Spatialisation of the Strategic Vision (Activity 19) corresponding to that goal.

   **Tip:** An alternative is to define the stations according to the Sustainable Urban Development 5/6P’s (People/Planet/Partnerships/Prosperity/Peace/Planning) or the main thematic areas that resulted from the Analysis and Diagnosis.

2. Divide participants into groups. Ideally, the number of groups should match the number of stations.

3. Each group starts in one thematic/goal station. Using coloured sticky notes, participants brainstorm possible catalytic and strategic projects that could be implemented to fulfil the targets of the specific goal. After a defined time (e.g. 10 minutes), groups rotate to a different station and continue to add projects to the paper or board. This step is repeated until all groups have participated in all stations.

   **Tip:** As time passes and there are more ideas in each station, participants will probably need less time. Recommended times for the activity: station 1: 20 minutes, station 2: 15 minutes, station 3: 10 minutes, station 4: 5 minutes.

4. Participants take some time to go around the room and read all the proposed projects and actions for each goal or theme. Individually, they vote on a pre-defined number of projects (e.g. 2 for each goal). This can be
T32 Strategic and Catalytic Projects Workshop

done using voting dots (stickers). The goal is to map which projects are the most important for the collective of all participants.

**Step 3. Spatialisation**

5. Participants divide into groups again, and stay in one of the thematic stations. They review the most voted projects, and have a discussion of their relevance to the goal and area of intervention.

6. Using a map, they identify the area(s) and specific locations where these projects and actions could be implemented.

   **Tip:** For this activity, it is useful to have the constraints, challenges and opportunities, and constraints map, the conceptual structure and the spatial strategies maps printed out for reference.

7. Each group shares their results in plenary, collecting feedback or any other projects or locations that come up. A notetaker should document the discussion.

8. After the workshop, the technical team systematises the information to define the catalytic actions and strategic projects of the plan. They should be categorized according their level of complexity, possible cost, the number of objectives they respond to, etc. Strategic projects should be linked to more than one goal. The final definition of catalytic projects and strategic actions is made based on the participatory prioritisation in the workshop and on a technical prioritisation exercise (T33 Project Prioritisation Template). Additional projects and actions can be integrated on a secondary priority level.

   **Tip:** The final list of projects can be shared with the workshop participants and/or advisory committee for feedback and validation.
T32 Strategic and Catalytic Projects Workshop

Done using voting dots (stickers). The goal is to map which projects are the most important for the collective of all participants.

Step 3.
Spatialisation

5. Participants divide into groups again, and stay in one of the thematic stations. They review the most voted projects, and have a discussion of their relevance to the goal and area of intervention.

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For this activity, it is useful to have the constraints, challenges and opportunities, and constraints map, the conceptual structure and the spatial strategies maps printed out for reference.

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Additional projects and actions can be integrated on a secondary priority level.

Tip:
The final list of projects can be shared with the workshop participants and/or advisory committee for feedback and validation.

T33 Project Prioritisation Template

<table>
<thead>
<tr>
<th>Climate Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>For climate actions purposes, column A of the prioritisation template can be changed and used for assessing and prioritising adaptation options, identified through TX Adaptation options identification. As a result of this process, a number of prioritised actions will emerge. At a later phase, these should be fully screened in order to ensure that there are no environmental and social risks, particularly risks that may affect people in vulnerable situations.</td>
</tr>
</tbody>
</table>

References:
Climate Change Vulnerability and Risk (5.3. Prioritising actions)

4. Prepare a final report with the prioritised projects, detailing clearly aspects such as actual estimated costs of an urban project, financial responsible entities, timeline for implementation, main actors, beneficiaries etc. This document will be key in the operationalisation phase, to draw investment and define the action plan.
## Prioritisation Template

<table>
<thead>
<tr>
<th>Catalytic or strategic projects</th>
<th>Linked Goals</th>
<th>Linked targets</th>
<th>Priority Area</th>
<th>Cost</th>
<th>Time</th>
<th>Technical feasibility</th>
<th>Urgency</th>
<th>Stakeholder acceptability</th>
<th>Impact</th>
<th>Mainstreaming potential</th>
<th>SCORE</th>
<th>RELATIVE RANK</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Highway construction</td>
<td>1, 3, 5</td>
<td>1.2, 3.3, 5.1</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>2 Church</td>
<td>2</td>
<td>2.1</td>
<td>1</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| 3                              |              |                |               |      |      |                        |         |                        |        |             |       |               |
| 4                              |              |                |               |      |      |                        |         |                        |        |             |       |               |
| 5                              |              |                |               |      |      |                        |         |                        |        |             |       |               |
| 6                              |              |                |               |      |      |                        |         |                        |        |             |       |               |
| 7                              |              |                |               |      |      |                        |         |                        |        |             |       |               |
| 8                              |              |                |               |      |      |                        |         |                        |        |             |       |               |
| 9                              |              |                |               |      |      |                        |         |                        |        |             |       |               |
| 10                             |              |                |               |      |      |                        |         |                        |        |             |       |               |
| 11                             |              |                |               |      |      |                        |         |                        |        |             |       |               |
| 12                             |              |                |               |      |      |                        |         |                        |        |             |       |               |
**T33 Project Prioritisation Template**

**Description** This tool provides a rational criteria to prioritise catalytic projects for the Strategic Development Plan and identify which are the most urgent projects to develop.

**Participants** This activity is carried out by the technical team.

**Instructions**

1. Use the template at the end of this tool to list the catalytic projects that emerged during the Catalytic Projects Workshop.

2. Indicate which goals and targets would be fulfilled by implementing the listed projects and if they are located in a prioritised area.

3. Evaluate the criteria and evaluation guide below. Particularly, the impact is related to the social and environmental benefits that the implementation of the project would bring. Use the following guiding questions to evaluate these three components. Ideally, projects with a greater number of ✓ should be prioritised.

   a. What is the cost of the overall project implementation? Does this impact the municipality’s existing budget?
   b. How long would it take to implement the project? Would it be completed within the current municipal mandate? If not, will the next government be able to complete it?
   c. Are there any partners or stakeholders willing to finance this specific project? Are there any regional or national bonuses provided for such projects?
   d. How does this project improve the quality of life of city dwellers and of the surrounding residents? What are the threats this project could bring to society?
   e. Does the project respond to an urgent situation that requires quick responses?
   f. What is the environmental footprint of the project? Would it reduce carbon emissions? Would it improve the resilience of the city and the region?
   g. Overall, is this project a “low hanging fruit”, easy to reach and with great positive impact?
   h. Is this project also considered a national or regional priority?

<table>
<thead>
<tr>
<th>Priority Area (1 = low priority; 2 = medium priority; 3 = high priority)</th>
<th>Urgency (1 = not urgent; 2 = urgent; 3 = very urgent)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cost (1 = high cost; 2 = medium cost; 3 = low cost)</td>
<td>Stakeholder acceptability (1 = low; 2 = medium; 3 = high)</td>
</tr>
<tr>
<td>Time (1 = long-term; 2 = mid-term; 3 = short-term)</td>
<td>Impact (1 = low impact; 2 = medium impact; 3 = high impact)</td>
</tr>
<tr>
<td>Technical feasibility (1 = difficult; 2 = feasible; 3 = easy)</td>
<td>Mainstreaming potential (1 = low; 2 = medium; 3 = high)</td>
</tr>
</tbody>
</table>
T34 Adaptation Options Identification

Description
This tool is used to prepare a checklist of possible adaptation options based on the identification of climate hazards and their potential impacts, while also considering the urban planning goals and targets.

Participants
This activity is carried out by the technical team, the advisory committee, the steering committee, and other key stakeholders.

Instructions

**Step 1. Formulate a longlist of possible adaptation options**

1. **Identify the main climate hazards and primary and secondary impacts.** The implementation of the T17 Climate Impact Chain Diagram, T16 Participatory incremental Mapping and the T20 Climate Vulnerability Assessment can facilitate the identification of climate hazards.

2. **Identify at least three possible adaptation options for each impact.** Climate adaptation options cover an extensive number of possibilities that include, actions, policies, strategies and programmes for increasing adaptive capacity through physical transformation/conservation of the built and natural environment and through strengthening the social and institutional response and capacities to address climate impacts.

<table>
<thead>
<tr>
<th>Climate Hazard</th>
<th>Primary/secondary impacts</th>
<th>Adaptation Options</th>
</tr>
</thead>
</table>
| Drought              | Reduced water supply              | 1. Water management plan  
2. Water conservation and awareness programme  
3. Rainwater harvesting  
4. Groundwater recharge and improved infiltration  
5. Minimise system leaks and other water loss (e.g. surface reservoir evaporation)  
6. Expanded or new reservoir capacity  
7. Infrastructure upgrades and repair (e.g. reservoirs) |
|                      | Reduced power generation          | 1. Construct or augment water storage reservoirs  
2. Optimise reservoir management and improve energy output by adapting to changes in rainfall or river flow patterns  
3. Support alternative energy production and distribution systems (e.g. urban solar and wind power) |
|                      | Reduced agricultural production   | 1. Construct infrastructure for aquifer storage and recovery  
2. Implement watershed management  
3. Create drought emergency response and contingency plans  
4. Adopt drought-resilient crops and diverse crop production  
5. Diversify water supply through different sources (e.g rainwater harvesting, water trading establishment, desalination) |

**Step 2. Link Goals and targets with adaptation options.**

*Based on the longlist elaborated in Step 1, the city’s targets and goals should also be able to mainstream climate change adaptation options.*
1. For each of the city’s goals, describe whether and how the achievement of its targets could be affected by climate change.

2. For those targets where a risk of climate change has been identified, select the suggested adaptation option from the long list that would allow for adaptation to the impacts of climate change and therefore help achieve the target. Note that some of the adaptation options that are linked to a goal and target may not have been identified in the list of adaptation options.

<table>
<thead>
<tr>
<th>Goals</th>
<th>Targets</th>
<th>Link to climate change (risks, threats and impacts)</th>
<th>Affected by climate change?</th>
<th>Adaptation Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>Promote community well-being</td>
<td>Protect drinking water supply</td>
<td>Seasonal droughts reduce water supply</td>
<td>x</td>
<td>1. Implement a water management plan.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. Implement a water conservation and awareness programme.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>3. Adopt rainwater harvesting,</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>5. Minimise system leaks and other water loss (e.g. surface reservoir evaporation).</td>
</tr>
<tr>
<td>Prosperous cities</td>
<td>Improve energy supply</td>
<td>Power generation susceptible to be reduced due to a lack of water during periods of drought</td>
<td>x</td>
<td>1. Construct or augment water storage reservoirs</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>2. Optimise reservoir management and improve energy output by adapting to changes in rainfall or river flow patterns</td>
</tr>
<tr>
<td></td>
<td>Expand regional rail links</td>
<td>Not affected</td>
<td>x</td>
<td>3. Support alternative energy production and distribution systems (e.g. urban solar and wind power)</td>
</tr>
</tbody>
</table>
Description  This tool provides two templates to map the necessary information and criteria in order to develop a preliminary financial plan.

Participants  This activity is carried out by the members of the technical team with a strong knowledge of finance and economics.

Link  Digital Tools spreadsheet

Table 1. Mapping activities and projects to Financial Mechanisms Template

Instructions

1. Review the results from T4 Financial Assessment Guide and add the available resources for the project (initial budget).

2. List the activities foreseen by each project, their estimated cost and the time frame needed to implement them. This costing would need to look for examples of the public infrastructure that needs to be put in place as per project, as well as additional operational costs (e.g., management, monitoring, communication).

3. Map the financial mechanisms identified as potentially most suitable: it is best to start linking them to each activity.

4. Indicate if the financial mechanism is new or not. A new financial mechanism is not foreseen nor has never been implemented in the legal and financial framework of the plan.

5. Calculate a range of estimated revenue that can be obtained by each financial mechanism.

<table>
<thead>
<tr>
<th>Project</th>
<th>Estimated cost</th>
<th>Time Frame</th>
<th>Financial Mechanism</th>
<th>Is the FM new?</th>
<th>Estimated revenue of FM (range)</th>
<th>Periodicity</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Estimated cost</td>
<td>Time Frame</td>
<td>Financial Mechanism</td>
<td>Is the FM new?</td>
<td>Estimated revenue of FM (range)</td>
<td>Periodicity</td>
</tr>
<tr>
<td>Example: Management</td>
<td>min</td>
<td>max</td>
<td>12 months</td>
<td>Own Source Revenue</td>
<td>No</td>
<td></td>
</tr>
</tbody>
</table>
T35 Preliminary Financial Plan Template

Table 1. Mapping activities and projects to Financial Mechanisms Template

Instructions

1. Review the results from T4 Financial Assessment Guide and add the available resources for the project (Initial budget).
2. List the activities foreseen by each project, their estimated cost and the time frame needed to implement them. This costing would need to look for examples of the public infrastructure that needs to be put in place as per project, as well as additional operational costs (e.g., management, monitoring, communication).
3. Map the financial mechanisms identified as potentially most suitable: it is best to start linking them to each activity.
4. Indicate if the financial mechanism is new or not. A new financial mechanism is not foreseen nor has never been implemented in the legal and financial framework of the plan.
5. Calculate a range of estimated revenue that can be obtained by each financial mechanism.

<table>
<thead>
<tr>
<th>Initial budget (T4)</th>
<th>Total Estimated cost</th>
<th>Budget gap</th>
<th>Total estimated revenue</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Financial mechanism</th>
<th>Authority to implement</th>
<th>Implementation time</th>
<th>Compatibility with plan time framework</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: Betterment charges</td>
<td>Yes</td>
<td>3 months</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Table 2. Implementation of new financial mechanisms: feasibility assessment table

Instructions

List all the financial mechanisms that have been indicated as new in the previous table.

1. Indicate who has the authority to implement the financial mechanisms.
2. Indicate the approximate time that would be needed for the mechanism to be authorised by the relevant authority. Take into account also the time needed to get approval to use the new mechanism for this specific plan. Indicate if the time needed is compatible with the overall time available to develop the plan.

<table>
<thead>
<tr>
<th>Financial mechanism</th>
<th>Authority to implement</th>
<th>Implementation time</th>
<th>Compatibility with plan time framework</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: Betterment charges</td>
<td>Yes</td>
<td>3 months</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Tip: For this activity, it is useful to list all the references and resources containing important information related to the future implementability of the financial mechanisms (e.g. laws, past application cases, forms, documents etc.)
Description This tool guides the definition of forbidden, tolerated and conditional uses for each land-use category, depending on development zones and planned densities.

Participants This activity is carried out by the technical team.

Instructions

1. Define land-use categories considering the specificity of the context, such the following:

   a. Residential
   b. Commercial
   c. Mixed-use
   d. Industrial / transport
   e. Education
   f. Religion
   g. Heritage
   h. Administrative & Public Facilities
   i. Public open space
   j. Agriculture
   k. Protected areas (wetlands, national park)

Tip: Land-use categories should not be too detailed, but rather simple, and there should be no more than 7-10 categories. This will help to simplify regulatory directives and understand the city structure. Depending on the context, functions such as religious buildings or schools could be part of “public facilities”, and theatres, libraries and cinemas could be part of a “cultural facilities” category.

Example of proposed land-use map:

Madinah, Saudi Arabia (Future Saudi Cities Programme, UN-Habitat, 2018. Resource Link)
Description
This tool guides the definition of forbidden, tolerated and conditional uses for each land-use category, depending on development zones and planned densities.

Participants
This activity is carried out by the technical team.

Instructions
1. Define land-use categories considering the specificity of the context, such as the following:
   a. Residential
   b. Commercial
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   d. Industrial / transport
   e. Education
   f. Religion
   g. Heritage
   h. Administrative & Public Facilities
   i. Public open space
   j. Agriculture
   k. Protected areas (wetlands, national park)

   Tip:
   Land-use categories should not be too detailed, but rather simple, and there should be no more than 7-10 categories. This will help to simplify regulatory directives and understand the city structure. Depending on the context, functions such as religious buildings or schools could be part of “public facilities”, and theatres, libraries and cinemas could be part of a “cultural facilities” category.

   Example of proposed land-use map:

   (Madinah, Saudi Arabia (Future Saudi Cities Programme, UN-Habitat, 2018. Resource Link)

Before assigning land-use categories to sub-zones and plots, it is important to define forbidden, tolerated and conditional uses, considering the development zones and the densities proposed in the Strategic Development Plan. This is a crucial step to improve quality of life, and incentivize best practices and recommended uses.

Instead of focusing on allowed land uses, the proposed approach enhances flexibility in the planning process to adapt to local demands.

2. Review the Strategic Development Plan, specifically the development zones (strategic, social, environmental, cultural), the spatial strategies, and strategic densities assigned.

3. Review any national or regional planning document providing directives of incompatible functions. Below are provided UN-Habitat’s definitions and the financial implications for developers:

<table>
<thead>
<tr>
<th>Forbidden Uses</th>
<th>Tolerated Uses</th>
<th>Conditional Uses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planners classify a land use as forbidden only when the use is absolutely incompatible, as they would cause serious social, economic and environmental disruptions.</td>
<td>Planners classify uses as tolerated when there are inadequate externalities. However, depending on the density, its suspension could cause social, economic and environmental disruptions. High densities allow development of some tolerated uses.</td>
<td>Planners classify uses as conditional whenever they can potentially generate social, economic and environmental impacts on a neighbourhood. Developers are prohibited from developing incompatible uses. Existing forbidden uses face progressive taxation and could be dismissed in exchange of development rights or other compensation mechanisms.</td>
</tr>
<tr>
<td>Developers are not entitled to new permits. Existing uses are tolerated however with disincentives and potential mitigation measures. High densities do not always apply progressive taxation.</td>
<td>Developers are entitled to new permits under certain conditions and the approval of local participatory governance mechanisms and mitigation measures.</td>
<td></td>
</tr>
</tbody>
</table>

Relation between forbidden, tolerated and conditional uses and urban density:

![Diagram showing the relation between forbidden, tolerated, and conditional uses and urban density](Diagram.png)
4. **Define the forbidden uses for each land-use category and compile them in the following matrix. These depend on the potential disruption they would cause in the neighbourhood (e.g. air pollution, sound pollution, heavy traffic congestion, negative impact on land-value, gentrification, shortage of electricity or water due to high demand, etc.)**

5. **Define the tolerated uses for each land-use category and compile them in the following matrix. These depend on the balance of positive and negative impact that would generate in the neighbourhood (e.g. pubs increase public life and diversity, however in certain context alcohol sale might generate unsafety)**

6. **Define the conditional uses for each land-use category and compile them in the following matrix. Conditional uses make the plan flexible to accommodate uses which can bring benefits (through mitigation measures) for the community in terms of job creations, based on the neighbourhood environmental, social, and impact assessments.**

7. **Depending on the density proposed in the Strategic Development Plan, some tolerated uses could be considered as conditional. Higher densities encourage higher degrees of diversity and allow the integration of more functions.**

8. **Consolidate the Compatibility of Functions matrix as a reference for the overall Land Management Plan. Localised incompatibilities for specific areas could be described with a note or a site-specific matrix. Use the matrix to develop regulatory directives and negotiate with developers.**

### Compatibility of Functions Matrix

<table>
<thead>
<tr>
<th>Forbidden Uses</th>
<th>Tolerated Uses</th>
<th>Conditional Uses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Residential</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Commercial</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mixed-use</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Industrial / transport</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Education</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Religion</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Heritage</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Administrative</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public open space</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Agriculture</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Protected areas</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public facilities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
T37 Smart Mixed-Use Planning Tool

**Description** This tool helps to assign land-use categories and define regulatory directives for the Land Management sub-zones. This aims to incentivize conditional use and sustainable urbanisation, using land-based financial mechanisms.

**Participants** This activity is carried out by the technical team and validated by the advisory committee.

**Instructions:**

**Step 1. Define smart regulatory directives for land use, occupancy and exploitation**

The Land Management Plan sets the minimum standards and urban planning directives to regulate the land and negotiate with developers, in order to promote mixed-use spaces, social and economic mix of built areas, compact city and adequate densities, and connectivity — principles established in the New Urban Agenda.

The following index needs to be defined:

<table>
<thead>
<tr>
<th>Index</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Building Coverage Ratio (BCR)</td>
<td>Also called development index, it is the ratio between the building footprint and the plot area. This index is used to ensure a minimum of permeable surface in the plot and it varies between 0%, permeable area is zero, and 100% which means that it is not possible to build on this area. This index is useful in environmentally sensitive areas or in protected areas.</td>
</tr>
<tr>
<td>Urban Green Spaces (UGS)</td>
<td>This ratio describes the surface of green spaces per capita. The World Health Organisation (WHO) recommended a minimum of 9m² of green space per individual, the ideal UGS value being 50 m² per capita.</td>
</tr>
<tr>
<td>Floor Area Ratio (FAR)</td>
<td>Also called occupancy index, it is the ratio between the total floor area of the buildings and the plot area. This number indicates the maximum development rights reachable in a plot, set by the infrastructure capacities of the neighbourhood (streets, public transport, basic services, etc). It depends on the number of floors and the floor areas. UN-Habitat promotes the use of three different FAR to promote sustainable urbanisation and good urban practices: basic FAR, property FAR and incentive FAR.</td>
</tr>
<tr>
<td>Basic FAR</td>
<td>It is the minimum FAR required and freely granted with the acquisition of the land. Developers are recommended to reach at least the minimum FAR otherwise they are charged with progressive taxation. This discourages sprawl and speculative urban practices.</td>
</tr>
<tr>
<td>Property FAR</td>
<td>It is the maximum acquirable development rights in a plot. Developers pay progressive taxation considering how much they are willing to develop.</td>
</tr>
<tr>
<td>Incentive FAR</td>
<td>It is an extra % of development rights freely granted by the municipality if the developer has implemented or is willing to implement good urban practices such as rental social housing, public spaces, mixed-use, active facade and physical permeability, as well as participatory governance and planning practices. This extra % is still calculated within the infrastructure capacities of the neighbourhood.</td>
</tr>
</tbody>
</table>

**Note:** Basic, Property and incentive FAR are also related to forbidden, tolerated and conditional uses. As mentioned earlier, forbidden use is not allowed. Developers are allowed to build tolerated use, however, they would not be able to access new development permits, being restricted to the basic FAR, and might face progressive taxation. Conditional use, coupled with good urban practices and participatory planning and governance, would entitle developers with new permits and reach property and incentive FAR.
### Number of stories and building height

It indicates the possibility of verticalization of the land and establishes the maximum number of stories and the maximum building height. This index is useful to preserve a qualitative urban landscape and a consistent image of the city. It is possible to have both or only one of the two.

### Construction setback

It refers to the minimum distance between the buildings and the plot perimeter. This is not always needed but it is a great tool to ensure buffer zones in specific areas, such as coastal areas, riverbanks or close to airports.

### Facade detail code

It provides specific guidelines for the facade design of the building or any architectural requirements, in order to blend the building with the urban landscape or preserve any cultural or historical style and traditions of the context (e.g. color code for the building, dimensions and typologies of openings, lighting, decoration, etc.).

### What are good urban practices?

- **Social housing.** Developers guarantee 10-20% of residential units dedicated to public rental social housing for vulnerable groups of the society.

- **Mixed-use.** The building integrates residential and commercial use (or other public facilities), to improve diversity and create a vibrant public life. Commercial use is generally at the ground floor to increase public accessibility.

- **Active facade.** Ground floor facade serves the public spaces and the surrounding streets, providing services, lights, greenery, pleasant surfaces, exchange and accessibility. These increase the quality of public spaces, safety and the value of the neighbourhood.

- **Nature-based solutions.** Green and blue infrastructure help address multiple challenges and provide numerous benefits to the city and its residents, including climate mitigation and ecosystem-based adaptation, food security, health and well-being, recreational opportunities and local economic development. Hybrid approaches, combining green, blue and grey infrastructure, can be effective strategies for sustainable and resilient land-use planning.

- **Public space.** Developers reserve a % of the plot to covered or uncovered public areas, free to access and use for all the city dwellers and tourists, defining a setback, an accessible hall or a courtyard.

- **Physical permeability.** The block provides well-maintained, cleaned and lighted secondary paths to ensure walkability and accessibility of the neighbourhood.

- **Use of renewable energy.** Developers guarantee to develop building in line with the sustainable architecture principles, to supply the building with alternative energy resources (solar, geo-thermal, wind, etc.) covering a considerable % of its demand, as well as integrating sustainable solutions such as green rooftop, vertical greenery, cross-ventilation, etc.
Relations between the maximum infrastructure capacity, the FAR indexes and the Density Bonus:

1. Review any existing local, regional or national document related to these indexes.

2. Define the indexes for each sub-zone, considering the spatial strategies defined for that specific area and the implications identified in the Spatial Strategies Guide (T29 of Activity E18) (extension, densification, regeneration, conservation). The indexes should support the implementation of a compact and diverse city.

3. Fill in the following ID table for each sub-zone of the city and compile them together in a comprehensive report that will form the Land Management Plan.

<table>
<thead>
<tr>
<th>Parcel ID:</th>
<th>Area:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Insert scaled map of the sub-zone</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Developing Zone</th>
<th>Strategic / Social / Environmental / Cultural - Transformation / Consolidation zone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic Density</td>
<td>High / medium / low</td>
</tr>
<tr>
<td>Spatial Strategy</td>
<td>Expansion / regeneration / densification / conservation / none</td>
</tr>
<tr>
<td>Land-use</td>
<td></td>
</tr>
<tr>
<td>Forbidden/ tolerated/ conditional use</td>
<td></td>
</tr>
</tbody>
</table>
### T37 Smart Mixed-Use Planning Tool

<table>
<thead>
<tr>
<th>BCR</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>UGS</td>
<td>m²/capita</td>
</tr>
<tr>
<td>Basic FAR</td>
<td>%</td>
</tr>
<tr>
<td>Property FAR</td>
<td>%</td>
</tr>
<tr>
<td>Incentive FAR</td>
<td>%</td>
</tr>
<tr>
<td>Maximum # stories</td>
<td>#</td>
</tr>
<tr>
<td>Maximum height (m)</td>
<td>m</td>
</tr>
<tr>
<td>Thematic recommendations</td>
<td>Basic services, housing, electricity, drainage, etc.</td>
</tr>
<tr>
<td>Cross-cutting recommendations</td>
<td>Social inclusion, safety, resilience</td>
</tr>
<tr>
<td>Notes</td>
<td></td>
</tr>
</tbody>
</table>

#### Step 2. Define simplified land-based finance mechanisms

Define a series of land-based finance mechanisms to regulate the city development through incentives. There are several strategies to encourage best urban practices and development of conditional uses. Use the list included in the T5 Financial Mechanisms Catalogue tool as a reference.

**Land-based finance mechanisms related to basic, property or incentive FAR and good urban practices:**

- Urban Development Fund
- Vacant Land
- Basic FAR
- Property FAR
- Maximum FAR with Density Bonus
- Progressive taxation + expropriation through development rights
- Progressive taxation
- Fullest land title (social function of land)
- Incentives for mixed use, public space, active facade, permeability and social mix
T38 Detailed Data Gathering and Analysis

Description This tool guides the additional data gathering and analysis needed to develop the Neighbourhood Plan.

Participants This activity is carried out by the technical team, although some activities for field research can include external participants (e.g. actors from the local community, local experts, etc.).

Instructions

1. Review the data produced from the city Block D Analysis and Diagnostic. Most of the information needed for the Neighbourhood Plan should have been compiled at the city level. Review the information corresponding to the selected neighbourhood and review that it is accurate. Take note of any layer or area that needs to be updated or adjusted with additional field research. Finally, produce new detailed maps corresponding to the selected neighbourhood area.

2. Additional and more detailed information should be gathered at the neighbourhood scale. Using the tables below as a guide, define the data that should be compiled and choose the research method to collect it.

### Additional Data Gathering and Analysis for the Neighbourhood Scale

<table>
<thead>
<tr>
<th>Category</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Crime and insecurity</td>
<td>Delictive and/or crime areas. Geo-referenced records of crime events. Perceptions of safe/unsafe zones and reasons behind (lack of public lighting, unsafe intersections, etc.).</td>
</tr>
<tr>
<td>Local climate hazards</td>
<td>Areas that are exposed to climate-related hazards (e.g., areas prone to floods, steep slopes prone to landslides). Areas that are not exposed to climate-related hazards (safe havens). Areas prone to water stagnation. Past climate-related events and their impacts on the community (e.g., flood levels reached)</td>
</tr>
<tr>
<td>Economic activity and employment</td>
<td>Economic units by type of activity. Sources of employment (percentages by type). Data about the real estate market. Characteristics of other relevant industries in the area (e.g. tourism)</td>
</tr>
<tr>
<td>Urban morphology and building typologies</td>
<td>Classification of urban morphology and building typologies according to different areas. Quality of buildings and location of urban voids.</td>
</tr>
<tr>
<td>Mobility</td>
<td>Intraurban connectivity, most transited routes and streets, public transportation routes. Location and physical characteristics of bike lanes and sidewalks. Motorised and non-motorized transportation modes, modal split. Origin-destiny trips.</td>
</tr>
<tr>
<td>Location of urban amenities</td>
<td>Location of urban amenities and their accessibility: educational (schools and universities), residential, commercial (shops, markets, banks), industrial (heavy and light), cultural, religious</td>
</tr>
</tbody>
</table>
T38 Detailed Data Gathering and Analysis

<table>
<thead>
<tr>
<th>Methods for Data Gathering</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Desk Research</td>
<td>Collect information from existing studies and/or government/institutions.</td>
</tr>
<tr>
<td>Observations/Reconnaissance surveys</td>
<td>The technical team walks around the neighbourhood or specific areas and identifies on-the-ground features or elements that are relevant for the analysis and notes them down on a base map.</td>
</tr>
<tr>
<td>Exploratory walks</td>
<td>Experience the neighbourhood through the eyes of daily users by walking and exploring it together.</td>
</tr>
<tr>
<td>Surveys (digital or in person)</td>
<td>Get statistical information from and by the community about their perception and opinion of the neighbourhood.</td>
</tr>
<tr>
<td>Interviews</td>
<td>Gather data about specific aspects of the neighbourhood that require specific expertise or knowledge from relevant stakeholders.</td>
</tr>
<tr>
<td>Focus group discussion</td>
<td>Gather people’s opinions and ideas on how they perceive their neighbourhood and collaboratively map challenges and opportunities.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Data Needed and Research Methods</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Layers of data that need to be collected</td>
<td>Research method</td>
</tr>
<tr>
<td>..................................................................................</td>
<td>..........................................................................................</td>
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<tr>
<td>..................................................................................</td>
<td>..........................................................................................</td>
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</tr>
</tbody>
</table>

3. Compile a series of detailed maps that consolidate the data and analysis at the neighbourhood scale.
T39 Neighbourhood Planning Workshop Guide

Description This tool guides the Neighbourhood Planning Workshop, in which a conceptual scheme for the neighbourhood is developed by the community.

Participants This workshop is carried out by the technical team and relevant stakeholders regarding the selected neighbourhood. (See the Workshop Checklist (T7) tool for more details).

Materials

<table>
<thead>
<tr>
<th>Maps:</th>
<th>Drawing &amp; sketching tools:</th>
</tr>
</thead>
<tbody>
<tr>
<td>● Analysis maps of the neighbourhood, produced in the detailed data gathering and analysis activity.</td>
<td>● Rolls of tracing paper of sufficient size to sketch on top of the maps.</td>
</tr>
<tr>
<td>● Printed base map(s) and aerial image(s) of the neighbourhood.</td>
<td>● Thick drawing markers of different colours (black, green, blue, red, yellow, brown, orange, etc.).</td>
</tr>
<tr>
<td></td>
<td>● Black fine liners and pencils.</td>
</tr>
</tbody>
</table>

Step 1. Neighbourhood Goals and Targets

1. In plenary, the technical team shares a presentation that includes:
   a) The neighbourhood boundary and the stakeholder mapping exercise for the neighbourhood scale.
   b) The spatial maps produced in the detailed data gathering and analysis activity, highlighting the challenges and opportunities, for example, the identified climate risk hotspots, informal settlements or critical infrastructure.
   c) The city’s vision, targets, and goals.

2. Participants provide feedback, comments, and questions in a facilitated discussion. The comments should be documented by someone in the technical team to later incorporate them to the maps and documents.

3. Divide participants into smaller groups. Each group has a facilitated discussion to select the goals and targets (defined in the city’s Strategic Development Plan (Block E)) that are relevant to the neighbourhood and should be included in the Neighbourhood Plan.

Tip: Groups can be divided according to different thematic areas and can discuss and choose from the goals and targets corresponding to that specific topic (e.g. adequate housing and urban services, mobility and accessibility, climate change and resiliency, social cohesion and participation, etc.). The selection must consider relevance to the specific context and neighbourhood, level of priority, and expected implementation period (short - medium - long term).

Step 2. Neighbourhood Conceptual Design

1. In the smaller groups, collaboratively discuss and draw on top of a base map which are the main streets (paths) and current urban structure.

   Tip: Use different colours to represent the hierarchy and types of paths (main, secondary, local). Place a piece of tracing paper on top of the printed base map to better visualise the drawings.

2. Discuss what are the participants’ local needs and desires regarding their neighbourhood: what would they want to add and/or change? Draw these elements, specific actions and/or interventions on the neighbourhood map, using the following list as a guide.

Tip: Use different colours to represent the hierarchy and types of paths (main, secondary, local). Place a piece of tracing paper on top of the printed base map to better visualise the drawings.
Urban Elements and Interventions for Neighbourhood Design

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Basic services</td>
<td>Access to water, sewage, electricity, internet, etc.</td>
</tr>
<tr>
<td>Public services</td>
<td>Healthcare, educational, childcare, cultural, sports facilities, etc.</td>
</tr>
<tr>
<td>Urban equipment and community spaces</td>
<td>Markets, urban farms, community centres, banks, bars and restaurants, shops, etc.</td>
</tr>
<tr>
<td>Open public spaces</td>
<td>Natural spaces, recreational spaces, parks, etc.</td>
</tr>
<tr>
<td>Transportation and mobility infrastructure</td>
<td>Improvement of existing spaces (shading, urban furniture, vegetation, etc.), New roads, streets, bike lanes, pedestrian crossings, signage, public transit stops and routes, parking spaces, etc.</td>
</tr>
</tbody>
</table>

**Tip:** Print icons that represent the different urban elements on small pieces of paper (scaled to the base map). This will make it easier for participants to move them around on the map and discuss their location before defining the conceptual neighbourhood design. Use different colours to represent different types of urban elements.

In the discussion, take note of the specific elements participants propose: not all elements need to be new projects, some could be specific interventions that contribute to better urban design.

3. Each group consolidates a conceptual neighbourhood design and shares the results and main characteristics with the rest of participants. Then, there is a facilitated discussion in plenary to identify patterns and coincidences across all groups. This information will be later synthesised by the technical team in order to include it in the neighbourhood plan design.
T40 Preliminary Estimation of Costs Template

**Description** This tool provides a template to calculate and estimate the costs based on the interventions foreseen by the Neighbourhood Plan.

**Participants** This activity is carried out by the technical team.

**Link** [Digital Tools spreadsheet](#)

**Instructions**

1. **Indicate the available initial budget** (T4 Financial Assessment Guide).

2. **List the projects and interventions included in the Neighbourhood Plan.**

3. **For each project and intervention, indicate the quantity and its unit of measurement based on information obtainable from the plan.** Note: at this stage, measurements do not have to be precise and definitive, but ought to be realistic.

4. **The price per unit is based on the local average prices.**

5. **Finally, calculate the total cost and the budget gap.**

<table>
<thead>
<tr>
<th>List of projects and interventions</th>
<th>Unit</th>
<th>Quantity</th>
<th>Price per unit</th>
<th>Partial cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: New Viability</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example: Public lighting</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Available budget**

<table>
<thead>
<tr>
<th>Budget Gap</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0</td>
</tr>
</tbody>
</table>

**Tip:** Researching similar interventions can help during the elaboration of this preliminary estimation of costs.
Planning experiences

Bissau - Guinea Bissau

**Bissau 2030**
Sustainable Development Plan

Region of Bolama-Bijagós - Guinea Bissau

**Bolama-Bijagós Regional Strategic Development Plan Bijagós 2030**
Etibêne Kossok!

Bolama - Guinea Bissau

**Bolama Basic Spatial Plan**

Bubaque - Guinea Bissau

**Bubaque Basic Spatial Plan**

Hawassa - Ethiopia

**Sustainable Development of Hawassa City Cluster**

Bahir Dar - Ethiopia

**Bahir Dar Vision 2035**
Sao Tome 2030
Sustainable Urban Development Framework for the Island of Sao Tome

Principe 2030 – Sustainable Development Plan for the Autonomous Region of Principe

Angola’s National Policy on Territorial Planning and Urbanism (PNOTU)

Urban planning, beautification and extension project of the city of Dame Marie

Urban planning, beautification and extension project of the city of Beaumont

Urban planning, beautification and extension project of the city of Jérémie
Planning experiences

Les Cayes – Haiti

Urban planning, beautification and extension project of the city of Les Cayes

Belmopan – Belize

Belmopan Urban Development Plan

Conakry – Guinea

Greater Conakry Regional Master Plan and two Detailed Development Plans

Gorongosa – Mozambique

Gorongosa 2030 – Sustainable Development Framework 2030 of Gorongosa Village

San Nicolas de los Garza – Mexico

San Nicolas de los Garza 2030 City Vision
<table>
<thead>
<tr>
<th>References</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>2030 Agenda and the Sustainable Development Goals</td>
<td>2015</td>
</tr>
<tr>
<td>A new strategy of sustainable neighbourhood planning: Five Principles</td>
<td>2014</td>
</tr>
<tr>
<td>A Practical Guide to Designing, Planning, and Executing Citywide Slum Upgrading Programmes</td>
<td>2015</td>
</tr>
<tr>
<td>An Analysis of Urban Climate Adaptation Finance</td>
<td>2021</td>
</tr>
<tr>
<td>Bissau 2030 Sustainable Development Plan</td>
<td>2019</td>
</tr>
<tr>
<td>City context reports of the Global Future Cities Programme</td>
<td>2019</td>
</tr>
<tr>
<td>City of Toronto Long-term Decision-making, Planning and Budgeting</td>
<td>2017</td>
</tr>
<tr>
<td>City Profiles of the Future Saudi Cities Programme</td>
<td>2019</td>
</tr>
<tr>
<td>City Prosperity Index</td>
<td>2016</td>
</tr>
<tr>
<td>City Prosperity Initiative</td>
<td>2015</td>
</tr>
<tr>
<td>City Resilience Action Planning Tool (CityRAP)</td>
<td>2018</td>
</tr>
<tr>
<td>City Revenue Fact Sheet</td>
<td>2016</td>
</tr>
<tr>
<td>City-scale Plan Assessment Tool</td>
<td>2020</td>
</tr>
<tr>
<td>City-wide Public Space Assessment Toolkit</td>
<td>2020</td>
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Get in touch

This project aims at creating a dynamic feedback and continuous improvement process between national and sub-national urban policies and urban planning practices at the local level. It is designed to be constantly improved by external contributions and through new tools.

We care about your feedback and encourage you to share which activities and tools you find useful, to ask questions, provide suggestions, share your planning experiences, and join trainings organised by our team at UN-Habitat.

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