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 customize inclusive urban planning processes

Second edition of Participatory Incremental Urban Planning (PIUP)
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A global toolbox to support local governments and urban actors in small and intermediate cities to implement and customize inclusive urban planning processes

Second edition of Participatory Incremental Urban Planning (PIUP)
Phase 1 (Assessment) and Phase 2 (Plan)

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Acknowledgements: Claudio Acioly, Dyfed Aubrey, Carlos Betancourth, Steven Bland, Pinar Caglin, José Chong, Gabriela Aguinaga Gumuzio, Irfan Mahmun, Princesse Samba Makondele, Fernando Murillo, Teferra Sileshi, Mathias Spaliviero, Claudio Torres.
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Phase 1 (Assessment) and Phase 2 (Plan)
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As cities are rapidly growing, small and intermediate municipalities struggle to address the need for sustainable urbanisation with limited capacities, facing additional challenges such as conflicts over land and property, unplanned and unstructured territorial development resulting in spatial inequality, urban sprawl, insufficient infrastructure and basic services provision, lagging mobility networks and climate change impacts. To adequately respond to the rapid increase in population, cities need to understand their territory and identify priority interventions through the development of territorial and urban strategic plans.

The current pandemic has put the world under an unprecedented economic, environmental, social, and political stress. Local governments seek guidance, 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, inadequate housing and unequal access to public spaces have been amplified, especially for the most excluded and vulnerable groups.

Additionally, community engagement and participatory planning processes are often deprioritized, especially when time and resources are limited. Due to the pandemic, gathering and physical distancing restrictions have hindered the implementation of participatory and inclusive urban planning processes that include traditional in-person collaborative design workshops and validation sessions. The role of new digital tools and processes has been crucial to be able to continue to meaningfully engage communities and key stakeholders.

It is in this context that UN-Habitat has developed the Our City Plans (OCP), as a step-by-step guide for city leaders, urban planners and stakeholders to carry out and participate in integrated urban planning processes, from its evaluation to its implementation.

Our City Plans provides an adjustable structure for planning processes and includes the most relevant tools to successfully complete the different phases and activities of preparing a territorial and urban plan, from its evaluation, participatory activities, environmental and social safeguards, spatial analysis to reviewing financial and legal mechanisms.

Our City Plans supports governments and urban actors through an iterative process rather than a Master Planning approach. It is a tested methodology that builds on the vast experience of UN-Habitat in supporting the development of planning frameworks in numerous countries. The toolbox is incremental and flexible and allows local governments to tailor the planning process to their own context, priorities, available resources, and capacities.

I hope that this publication and its upcoming digital platform will contribute to the vital work of city leaders, urban planners, and other key stakeholders, serving as a consolidated guide of urban planning processes bringing together the best tools, to trigger collaboration and partnerships for participatory urban planning, and to help build more socially inclusive, vibrant, and resilient cities creating a better urban future for all.

Maimunah Mohd Shariff
Executive Director, UN-Habitat
Introduction

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

What is Our City Plans?

Our City Plans is a step-by-step methodology to assess, design, operationalize and implement urban planning processes. This means that by following the proposed timeline of phases, blocks and activities, supported by innovative tools, the toolbox helps the different urban stakeholders to better understand urban planning processes and to assess at which stage they need to participate to ensure that their voices are heard and their interests considered as part of the city’s vision, policies, strategies, programmes, plans and projects.

How does the toolbox help...?

CITY LEADERS

The toolbox is a resource for city leaders as it provides a comprehensive and strategic overview of the whole planning process. The toolbox includes a city leaders track, which clearly indicates which are the critical activities in which city leaders should be engaged and dedicate time to. But most importantly, it gives city leaders a clear understanding of which are the key deliverables (urban analysis, scenarios, strategic plan, action plan, detailed plans, project feasibility studies, etc) and the importance of citizens participation in urban planning. It also presents the critical activities to make sure that the plan is implemented and that positive impact is achieved for the residents.

CITY PLANNERS

The toolbox provides city planners and urban planning practitioners with a step-by-step guide on how to run, identify gaps and improve urban planning processes. The toolbox includes a city planning track, it provides a clear prioritization of participatory activities, highlighting which activities are mandatory or recommended, according to the level of detail that best matches the financial and human resources of the municipality. The toolbox also helps practitioners to understand the human and financial resources required to undertake different planning processes. It represents a compilation of tools, operationalization and implementation mechanisms to move the planning process from assessment to implementation.

CIVIL SOCIETY, INVESTORS AND PRIVATE SECTOR

The toolbox also provides a civil society, investors and private sector track. It is designed to help civil society and urban residents visualize in a simplified manner the complexity of urban planning processes. It also helps them identify the steps in the process critical to influence urban policies, programmes, plans and projects. It is also a toolbox to provide more transparency on urban priorities so that public-private investments can be better aligned.
Introduction

Our City Plans is...

Process-based.
It recognises the importance in urban planning of defining a process framework rather than a design framework.

Fit-for-purpose.
It is a simplified roadmap for urban planning processes based on best practices for contexts with limited resources and capacities. It is based on our experiences in multiple cities with different social, economic and cultural contexts in a variety of countries, such as Guinea-Bissau, Haiti, Ethiopia, Angola, Sao Tome & Principe, Saudi Arabia, Comoros, Cabo Verde, Mexico, etc.

Incremental, modular and flexible.
It is a step-by-step methodology that guide city leaders and practitioners through the planning process. It is structured in phases, blocks and activities, supported by innovative tools to facilitate the smooth and gradual development plan. It enables cities to tailor the planning process, considering the available resources and capacities of the context.

Impact-oriented.
It promotes a planning process which is intervention-oriented through smart mechanisms and incentives, operationalisation tools, coherent policy implementation, linked to land management, city finance, urban governance and legislation. It stresses the importance of action planning to put projects on the ground.

Participatory and people-centred.
It places local authorities and citizens at the driver’s seat of sustainable urban development. It stresses that the implementation of a plan depends upon multiple stakeholders, all critical planning steps should be understood and owned by stakeholders before further continuation.

Open source.
It 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 and to absorb external contributions and new tools.

In-person and virtual.
It provides different tools, tips and functionalities to provide both in-person and virtual support for urban planning processes.

To best understand the needs of Our City Plans users, we are asking for your initial feedback — no need to be familiar with the document. Complete this survey and join our community of affiliated municipalities and experts around the world!
Our City Plans proposes a modular process of **4 phases, 13 blocks and 48 activities**. The methodology guides the users through the crucial steps needed to develop an inclusive and sustainable urban planning process, structured into 4 main phases: assessment, design, operationalisation and implementation.

**Phase 1 | Assessment**
The first phase aims to **understand the context and the current planning framework**, in order to prepare the project and tailor the most suitable planning process, supported by a strong stakeholder engagement. During the assessment phase, the technical team sets the objectives of the urban planning process and defines which plans should be developed, according to the priorities of the local government, as well as its capacities and constraints in terms of time, budget, expertise, territorial ownership and stakeholder engagement. The environmental, socio-economic and spatial challenges and opportunities are also assessed as a starting point for the planning phase.

**Phase 2 | Plan**
The objective of the plan phase is to **develop a common vision**, a set of strategies and plans that provide spatial and technical support to the future planning of the city. This phase includes three levels of **urban development plans**: the strategic development plan, the land management plan, and the detailed plan. The plans are the result of multiple consultations between the technical team, the local government, the key stakeholders and the community, addressing the challenges and opportunities identified during the analysis and diagnostic block and providing solutions at different levels of detail.

**Phase 3 | Operationalisation**
Once the urban plans are developed, it is crucial to **set a series of actions and enabling mechanisms** to facilitate 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 operationalisation phase highly considers the cross-cutting issues of urban planning - social inclusion, resilience and safety - to define a smart, inclusive, sustainable and human-rights-oriented implementation framework. Finally, the technical team must validate the urban plans with the public and go through the official approval process.

**Phase 4 | Implementation**
Once the urban plan is adopted as a statutory document, the implementation phase aims to build and **implement the strategic actions and catalytic projects** of the plan. This final phase also focuses on monitoring the project construction progresses, its technical quality and the social and environmental impact.

Currently, this publication provides detailed information and steps for only phase 1 and 2.
Our City Plans describes a step-by-step process to guide local governments in the development and implementation of urban plans. The toolbox presents the planning process as a linear roadmap with consecutive phases, blocks and activities. However, urban planning processes are complex and dynamic, requiring a "back-and-forth" approach, to continuously review and validate the different stages. Various activities could be conducted independently or simultaneously with others, depending on the expertise of the technical team and the availability of time and resources.

Depending on the context and the scope of the planning process, the municipality can choose whether to run the entire process or focus only on specific outputs. Blocks and activities are also modular and incremental. According to the expertise and the resources available, the planning process could follow a simplified or comprehensive path.

Moreover, each planning process could be tailored depending on the priorities and capacities of the local government. During the self-assessment workshop, the technical team and the political representatives identify the objectives and key outputs of the planning processes. Our City Plans provides guidelines to develop and implement different urban plans with different levels of details, scales and scopes.

**Strategic Development Plan**

The strategic development plan defines a spatialized conceptual structure of the city for the next 15 years, based on a clear vision, supported by goals, targets and measurable indicators. According to the population growth projections and the current urban transformation trends, the plan proposes a skeleton of the future city, including the new city boundaries, main connectivity axes and attractive poles. It also suggests a sustainable density scheme, supported by spatial strategies to develop conservation, regeneration, densification and transformation areas. Overall, the plan aims to have a clear image of the future urban dynamics and strategically address investments and resources to prioritized and highly-impacting catalytic and strategic projects.

**Land Management Plan**

The Land Management Plan is a regulatory spatial document with legal value that translates the spatial strategies into a detailed land use and management plan, aligned with regional, national and international urban policies. It provides the local government a tool to dialogue with private investors and developers, setting sustainable directives and binding regulations to be met. It requires in depth analyses and inclusive consultations to elaborate sectoral plans, compatibility of functions matrix, sustainable practices incentives, inclusive security of tenure policies among others. Once the plan is developed, it is validated with the community and finally adopted by the local authorities, as an official document.

**Sectoral Plan**

Sectoral plans are in-depth thematic plans that focus on specific components of the overall city land development. Mobility infrastructures, water and sewage management, natural resources protections, electricity and communication infrastructures, informal settlements regeneration, waste management,
integrated social housing development, are crucial aspects of the city development requiring in-depth analysis at the city and regional scale. These outputs provide a comprehensive understanding of thematic aspects that would feed into the land management plan and highlight specific catalytic projects to be further developed.

**Detailed Plan**

Detailed plans are localized urban development plans of a neighbourhood or an area of the city. They are elaborated within the framework of the strategic development plan or land management plan and are used to implement the city strategies and directives in specific areas. Detailed plans focus on the development of extension, regeneration, conservation or densification interventions, adopting smart and implementable solutions to achieve the overall vision of the city. Detailed plans are also binding documents and provide a regulations framework at the urban design and architectural scale, to ensure adequate provision of public spaces and basic services and sustainable and equal land consumption.

**Catalytic and strategic projects**

Catalytic and strategic projects are detailed plans that focus on prioritized areas of the cities and punctual projects, generating high social, environmental and economic impact. Examples of catalytic and strategic projects are the development of a business district, an airport or mobility hubs, pedestrianization of urban centres, construction of a new highway, regeneration of an informal settlement, etc. These detailed projects accelerate the strategic implementation of city plans and could attract external investments.
Participatory and inclusive urban planning processes require a clear management and governance framework carefully set from the early stages of the project. A community engagement strategy ensures active citizens’ participation, where stakeholders are not only informed, but are adequately empowered to substantially contribute to the planning process.

The block C “participation set-up” aims to identify key stakeholders of the planning process, understand their power and affinity to the project, the relation between each other, and capture any potential conflict of interests. This analysis generates a clear picture of the current social dynamics and enables the technical team to define tailored engagement strategies, to involve different urban actors with adequate modalities. This step is crucial to ensure an adequate representation and inclusion of the entire population in the planning process. Public sector (national, regional, local), international organisations, private sector, businesses consortium, academy and civil society must be captured in the stakeholder mapping. Similarly, different social groups and particularly vulnerable groups such as women, elderly persons, youth, ethnic minorities, people with disabilities, must be adequately represented by engaging schools, civic associations and organisations. Working with a diverse and comprehensive group of stakeholders increases the quality of the contributions to the planning process, improving the overall results and reducing any potential conflicts.

There are a variety of modalities to engage different groups for the society. Depending on the field of expertise and their level of power and affinity toward the project, the technical team should carefully identify what is the most adequate engagement strategy for each stakeholder. Collaborative data gathering sessions, consultation meetings, interviews, workshops are productive opportunities to develop substantial outputs at different stages of the planning process. Public hearings and events open to the broader community are also important steps to validate the outputs of the planning process.

However, it is not sufficient. Inclusive urban planning processes integrate various representatives from the civil society into the decision-making core team. In this way, vulnerable groups are given equal rights and opportunities to influence the development of the urban plans and their needs will be adequately reflected in the final outcomes.

Creation of different committees and teams with clear responsibilities and roles defines an inclusive management planning framework that puts the needs of its community first. Election’s criteria of key stakeholders to represent different sectors and groups of the society must be carefully defined. Generally, no conflict of interests, positive experience in developing community projects, and community recognition are some of the aspects that should be considered while selecting committee members. However, consultations with individual experts are also crucial to investigate specific topics. Here below are described the main committee and teams identified by the Our City Plans methodology:
Preliminary project team and project team

This team is the promoter and the project coordinator, organising and conducting the different activities of the planning process, engaging the stakeholders and consolidating the technical outputs. Initially, the guidelines refer to it as “preliminary project team” as the project office is not officially formed, while in the following steps it is called “project team”. Depending on the context, this team could be formed by 2 to 10 members, with expertise on urban planning, design, management, finance and governance.

Steering committee

The Steering Committee is the decision-making and validation core team. 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), technical representatives and community champions. It validates each step of the process and approves the adoption of the various plans and policies. This committee could be formed by 5 to 20 members and it must include representatives of marginalised voices of the community.

Advisory committee

The Advisory Committee is the technical core. It includes experts from different fields of knowledge and ensures that the plans reflect the different needs of the community as well as the environmental constraints of the context. The advisory committee is substantially involved during all the technical activities and workshops for the plan development. It could be formed by 10 to 30 members coming from the government, private sector, academia, NGOs, vulnerable groups and international organizations.

The overall community

The broader community, or the public, is the overall population of a city or a neighbourhood. It is generally engaged during survey and open events to validate the crucial steps of the planning process. The project team must ensure and facilitate their participation during public consultation, using innovative modalities and incentives.
This edition describes in detail the activities of Phase 1 (Assessment) and Phase 2 (Plan). Phase 3 (Operationalisation) and Phase 4 (Implementation) are under development.

Toolbox Composition

**Phases.**
The methodology describes the urban planning process in four main phases: assessment, plan, operationalisation and implementation. Each phase is divided into blocks.

**Activities**
Activities provide clear instructions, basic concepts and steps to follow. These could be mandatory or recommended, participatory or technical. Activities are supported by operative tools.

**Blocks.**
Blocks focus on specific topics of the planning process and have a clear outcome (participatory strategy, Terms of References, plans, etc.). Each block is divided into activities.
Activity number.
Each activity has a number. Activities numeration continues through blocks and 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.
A brief 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.
User-friendly tools are attached at the end of the publication. Not all the tools are mandatory and some tools support different activities. The technical team can select which are the most adequate tools to use, considering the level of complexity and its capacities.

Objective and results.
Select and produce additional data needed for the analysis of the city.

Results.
- Spatial base maps

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. 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. Moreover, participatory activities with a group or a specific stakeholder, such as mapping workshops, interviews, and household surveys, provide high-quality information based on the empirical experience and the technical knowledge of the residents and experts. Lastly, 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.
2. Create a prioritized list of missing data that should be collected through field research (T9).
3. Identify key topics and/or areas to prioritize during the field research.
4. Select the methods that will be used to conduct the field research.
5. If needed, identify a representative sample of population or invite any relevant stakeholder from the advisory committee to conduct the activities.
6. Prepare all the materials required to run the sessions.
7. If relevant, develop a Matrix of Functions (T10) to further understand the spatial structure and the land use.
8. During the field research, observe, listen, take notes, and do not jump to conclusions.

Tools.
T9 Desk and Field Research - Maps & Data Checklist (incl)
T10 Matrix of Functions (MfP)

References.
- Assessing the Impact of Eviction Handbook
- Catalog of Graphic References
- GIS Handbook for Municiapalities
- Climate Plan Assessment Tool
- Rapid Planning Studio
- Process Toolkit
- GIS Methodology: Future Saudi Cities Programme
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.

**New Urban Agenda**

*Link*

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 (*Link*). 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.

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

*Link*

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.
2030 Agenda and the Sustainable Development Goals

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 center 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**

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. 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.

**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 specialized in collecting data at local and regional level.
- Represent a roadmap for decentralised cooperation.
Cross-cutting dimensions of the planning process

In addition, to ensure local governments understand the current challenges of urbanization and to achieve UN-Habitat’s new vision of “a better quality of life for all in an urbanizing world”, it is important to integrate the cross-cutting issues of urban planning - social inclusion, resilience and safety - within the planning process.

Social inclusion

This dimension encompasses human rights; gender equality, young people, children, youth, older persons, and persons with disability.

1. Human rights: Human rights are universal, inalienable, indivisible, interdependent and interrelated, and are thus inherent to all human beings, regardless of race, gender, nationality or migration status, ethnicity, religion, income or any other status. The planning process should ensure that the most vulnerable groups are not engaged incidentally but are specifically targeted, and that living conditions, the right to adequate housing and the right to water and sanitation are improved for all.

2. Gender: Gender-based discrimination, which refers to discrimination against individuals because of their gender, gender identity or sexual orientation, can further intersect with, and compound, discrimination on other grounds, such as ethnicity, migration status and age, among others, thus exacerbating marginalization and curtailing their ability to fully participate in and benefit from sustainable urban development. The planning process should ensure effective participation as it is key to addressing different forms of gender discrimination, both in decision-making and in programme implementation.

3. Children, youth and older persons: It is important to consider the entire age spectrum, fully integrating children and youth, especially girls, older persons, and people in situations of particular risk of marginalization, who are often excluded from the overall benefits of urbanization. The planning process must integrate age- and gender-responsive housing policies and approaches.

4. Disability: Disability, in all its forms - physical, sensorial, mental - has also be reason of discrimination and exclusion. Sustainable urban development, respectively in the context of poverty reduction, can only be achieved if persons with disabilities are included meaningfully in decision-making and are able to access their rights. The planning process should ensure that the rights of persons with disabilities, including accessibility and universal design, are promoted, respected, and protected.

Resilience: Urban resilience is the ability of any urban system to maintain continuity through shocks and stresses — whether natural, such as earthquakes, or human-made, such as rapid population flows as a result of armed conflict — while adapting positively and transforming towards sustainability. The planning process should focus on building resilience for the city and of its people, in order to be able to react and recover from hazards, as well as on implementing infrastructure that adapts to climate change. It should pay special attention to improving the capacity of vulnerable groups, marginalized, and informal communities to adapt to climate-related shocks, by building on their organizational capacity and support mechanisms.

Safety: The New Urban Agenda and the 2030 Agenda calls for a safe and secure environment in cities and human settlements, enabling all to live, work and participate in urban life without fear of violence and intimidation. The planning process should ensure overall improved urban living conditions, social inclusion, reduction of inequality, and eliminating social and territorial exclusion patterns.
UN-Habitat’s Five Principles for Sustainable Neighbourhood Planning

**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 concept of Transit Oriented Development (TOD), in which cities are designed in an integrated manner in order to allow inclusive accessibility between residences, jobs, services, public spaces and activities through efficient and clean mobility modes is also contained in this principle. 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 urbanization. Sustainable cities should aim at achieving higher densities, which means having a larger number of people concentrated in a smaller amount of territory or urban area, 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 within the same block and/or neighbourhood land-uses and activities that are varied, compatible, and flexible enough to adapt over time. This way, people can live, work and access to different opportunities and services within a smaller range of area, thus travelling shorter distances, promoting more healthy and efficient modes of transport, and a vibrant street life. A related concept is promoting the 15 minutes city, in which residents can access all the amenities they need locally, 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. The goal is to provide inclusive access to opportunities and is achieved by having housing at the center and having available a wide variety of types of housing, in different price ranges and tenures, that can serve diverse groups and incomes within the same neighbourhood. 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 specialization**
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.
A. CONTEXTUALISATION

The Contextualisation block aims to develop a self-evaluation of the current conditions and available resources that impact the planning process. Both internal and external resources are reviewed, including physical, human, information and financial components, as well as legal aspects, partnerships and key stakeholders. The output of this block is a project roadmap that identifies which activities of Our City Plans should be conducted. The incremental nature of this methodology is due to the flexibility to adapt and be tailored according to the available resources. This preliminary block is conducted by the project lead and other potential members of the core technical team.

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

2. **Legal and Financial Resources Review**
   - mandatory
   - 1 week
   - 3 tools

3. **Self-Assessment Workshop**
   - mandatory
   - 1 day
   - 2 tools
Objective
Review the existing available resources to sustain the planning process in terms of 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 preliminary project team and identification of partners
- List of available resources (data, physical, and human)

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 until the elaboration of the Guiding Document and the formation of the Project Office.

Before starting any planning process, the preliminary technical team must define the local context in terms of culture, demographic trends, and historical background. Secondly, it identifies the availability, sources, and potential costs of acquiring 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 the list of minimum expertise and the resources checklist 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 \( (T_1) \).
4. Research on the demographic trends, culture and historical background of the context.
5. List and evaluate the availability, reliability, quality and relevance of data \( (T_1) \).
6. List and evaluate the availability of equipment and physical resources \( (T_1) \).
   Define any missing resources that should be addressed in the project document elaboration and the resource mobilization activities.

Tools
\( T_1 \) List of Minimum Required Expertise and Partners
Objective
Understand the legal planning framework at the national, sub-national and local level, the legal requirements for the plan approval, and the quality of the existing plans. Assess the current financial situation, define the available budget to finance the plan development and implementation, and identify any gaps and potential sources.

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

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 national, regional and local agenda. This step is crucial because the 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. UN-Habitat has developed a series of assessment tools to evaluate the quality of current legal frameworks and existing plans.

Finally, 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 are defined, a first project budget is elaborated.

Steps
1. Make a scheme of the institutional structure of the national, regional, and local planning system (T2).
2. Review all the existing planning instruments and documents at national, regional and local scales (T2).
3. Analyse the cadastral or any existing documents related to land ownership and management (T2).
4. Review some of the international urban planning frameworks and compile the Matrix of References (T3).
5. If possible, complete the Planning Law Assessment Framework.
6. If possible, assess the quality of the current Master Plan with the City-scale Plan Assessment Tool.
7. Assess the availability of financial resources (T4).
8. Define a preliminary project budget for the planning process (T4).

Tools
- Urban Legislation Assessment (T2)
- Matrix of References (T3)
- Financial Assessment Checklist (Digital Tool) (T4)

References
- Planning Law Assessment Framework
- Economic Foundations for Sustainable Urbanization: a study on the 3-pronged approach
- City Prosperity Index
- Social Tenure Domain Model
- City-scale Plan Assessment Tool
Objective
In a participatory session, develop a roadmap of steps and activities for the planning process, according to the available physical, human, and financial resources.

Result
- Preliminary project Work Plan.

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

The session is divided in three main moments. Firstly, with a questionnaire, the group defines 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 use a self-assessment table to evaluate and discuss the current planning capacities. Finally, they select the activities and the tools to conduct the planning process and propose a preliminary work plan.

Participants
This activity should be conducted by the preliminary project team and a small selected group of stakeholders. 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).

Tools
T5 Self-Assessment Template
T6 Workshop Checklist

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>
</tr>
</thead>
<tbody>
<tr>
<td>08.00</td>
<td>Registration and breakfast</td>
</tr>
<tr>
<td>08.30</td>
<td>Opening by the Mayor or the project manager followed by a presentation of each participant</td>
</tr>
<tr>
<td>09.00</td>
<td><strong>Plenary Session 1: Questionnaire</strong></td>
</tr>
<tr>
<td>09:45</td>
<td>Open discussion</td>
</tr>
<tr>
<td>10.00</td>
<td>Coffee break</td>
</tr>
<tr>
<td>10.15</td>
<td><strong>Plenary Session 2: Assessing table</strong></td>
</tr>
<tr>
<td>11.00</td>
<td>Open discussion</td>
</tr>
<tr>
<td>11.15</td>
<td><strong>Plenary Session 3: Workplan</strong></td>
</tr>
<tr>
<td>12.00</td>
<td>Open discussion</td>
</tr>
<tr>
<td>16:00</td>
<td>Closing remarks</td>
</tr>
</tbody>
</table>
The project preparation block aims to state the objectives of the planning process and the responsibilities of each actor. Specifically, the project team elaborates a guiding document that establishes the terms of collaboration with the different partners of the project and institutionalizes the roles of the stakeholders involved. The project preparation 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.

<table>
<thead>
<tr>
<th>4. Guiding Document</th>
</tr>
</thead>
<tbody>
<tr>
<td>🔄 mandatory</td>
</tr>
<tr>
<td>🕒 2 weeks</td>
</tr>
<tr>
<td>🪜 1 tool</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>5. Resource Mobilisation and Project Office</th>
</tr>
</thead>
<tbody>
<tr>
<td>🔄 recommended</td>
</tr>
<tr>
<td>🕒 1-2 weeks</td>
</tr>
</tbody>
</table>
**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)

**Description**

A guiding document describing the main objective and the expected accomplishments of the planning process is developed based on the output of the contextualisation block. 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 Terms of Reference 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. 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.
3. Draft a first version of the document and any required annexes (T7).
4. Share it with the local government to gather their feedback and comments.
5. Revise the document and incorporate any changes.
6. Validate the final document and have it signed by all the parties.

**Tools**

- **T7** Guiding Document Template

**References**

- SDG Project Assessment Tool
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
The financial strategy is a crucial aspect for the plan development and implementation. 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, tax-increment financing, betterment levies, public bonds, etc. to finance projects upfront and recover the costs later.

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 kick start 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, softwares, or data covered by the available budget should be procured.

Once financial, human and physical resources are mobilized, 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. 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
Setting up an inclusive participation framework is the core of the Our City Plans Toolbox. Participation in planning processes reduces conflicts between the local government and stakeholders with different interests, strengthens public-private partnerships, and facilitates the public approval of the plan, active citizenship and knowledge exchange. However, there are different levels of participation: from misinformation, to information, consultation, to citizens’ decision making and empowerment. The toolbox aims to consult, partner, and work collaboratively with the civil society, the private sector, and academia, to set common goals and priorities and develop a plan that responds to community needs.

A participation and communication strategy is crucial to engage the different stakeholders in the right moment and with the adequate tools, and to share the results and ongoing progress of the plan development with a broader audience. Finally, the steering committee and the project office should be established, and the project should be launched with the entire community.

C. PARTICIPATION SET-UP

6. Participation and Committees Formation
   - Mandatory
   - 2 days
   - 1 tool

7. Communication Strategy
   - Recommended
   - 1 week

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

Results
- Participation strategy
- Committees formation

Description
Based on the human resources list identified in Activity 1, the stakeholders’ mapping (T8) 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 organization. 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 by 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 organizations. 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 the advisory committee) or public (open to the entire community).
**Steps**

1. Run a stakeholder mapping exercise [T8].
2. Define the stakeholders’ engagement strategies and mechanisms.
3. Define the members of the steering and advisory committee and extend a formal invitation letter.
4. Review the workplan 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.

**Tools**

T8 Stakeholders’ Mapping

**References**

- Her City Toolbox
- Governance Assessment Framework for Metropolitan Territorial and Regional Management
- Guiding Principles for Parque de la Equidad
Objective
Set a communication strategy to 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 planning process. The plan development 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 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.
2. Designate a communication officer, responsible for implementing the communication strategies.
3. Create a digital platform or social media pages and publish information regularly.
4. Define a calendar of virtual or in-person activities to share updates or validate steps of the process.
5. Organise public events, invite the audience and facilitate their attendance.
6. Follow up and revise the planning process and outputs considering the comments received.
**Objective**

Communicate the 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 launching

**Description**

The launching session is the first main event of the communication strategy. The team presents the main objective of the planning process, the expected outcomes, the project 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 launching may also 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 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 (T6).
2. Communicate the event in advance and through different channels.
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.
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 channels of official communication.

**Tools**

T6 Workshop Checklist
D. ANALYSIS & DIAGNOSTIC

In the spatial analysis and diagnosis block, key evidence and information is collected to guide the stakeholders’ decisions throughout the planning process. The diagnostic aims to understand the project’s context, challenges, and opportunities. The urban and territorial diagnosis focuses on developing a ‘spatial portrait’ at different geographic scales. This portrait 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 population 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.
**Objective**
Gather existing data to learn the city and generate spatial base maps needed to support the analysis of the city and the plan development.

**Results**
- Repository of existing data (literature review, existing surveys, etc.)
- Spatial base maps, diagrams and data visualisations

**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. It considers information related to governance and administrative boundaries, the natural environment, demographic and social aspects, the built environment, mobility and transportation, basic services provision, 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, 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.
2. Review existing cartography and plans gathered during the contextualisation block.
3. Collect data from municipal offices, academic institutes and/or open source websites.
   - Organise the data according to the themes presented in the Desk and Field Research - Maps and Data Checklist (T9).
5. Consolidate and digitalise all the data into a single GIS database (T9).
6. Identify the missing data that should be gathered in the field research activities.
7. Compile different spatial base maps (T9).

**Tools**
- Desk and Field Research - Maps and Data Checklist (T9)

**References**
- Catalogue of Graphic References
- GIS Handbook for Municipalities
- City-scale Plan Assessment Tool
- GIS Methodology: Future Saudi Cities Programme
Superficial temperature of Cancun, Mexico. Master Plan of Parque de la Equidad.
Objective
Collect and produce additional data needed for the analysis of the city.

Results
- New data produced through multiple activities (surveys, participatory mapping, etc.)
- Spatial base maps, diagrams and data visualisations

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. 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. Moreover, participatory activities with a group or a specific stakeholder, such as mapping workshops, interviews, and household surveys, provide high quality information based on the empirical experience and the technical knowledge of the residents and experts. Lastly, 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.
2. Create a prioritized list of missing data that should be collected through field research (T9).
3. Identify key topics and/or areas to prioritize during the field research.
4. Select the methods that will be used to conduct the field research.
5. If needed, identify a representative sample of population or invite any relevant stakeholder from the advisory committee to conduct the activities.
6. Prepare all the materials required to run the sessions.
7. If relevant, develop a Matrix of Functions (T10) to further understand the spatial structure and the land use.
8. During the field research, observe, listen, take notes, and do not jump to conclusions.
9. Compile the gathered data into a series of base maps (T9).

Tools
T9 Desk and Field Research - Maps and Data Checklist
T10 Matrix of Functions (MoF)

References
- Assessing the Impact of Eviction Handbook
- Catalogue of Graphic References
- GIS Handbook for Municipalities
- City-scale Plan Assessment Tool
- Rapid Planning Studio
- City-wide public space assessment
- KoBo Collect
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.

Results
- Spatial and statistical analysis.
- Analysis report describing the findings and outcome of the analysis.

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 (T11).
3. Calculate the population projection and the amount of land needed (T12).
4. If possible, invite some stakeholders from the advisory committee to support with the analysis and carry out a Participatory Incremental Mapping (T13).
5. Work iteratively at different scales considering a variety of topics.
6. Compile the analysis into a series of spatial maps and write a brief description for each.
7. Consolidate all findings and maps in an analysis report.

Tools
- T11 Analysis and Diagnostic - Maps and Data Checklist
- T12 Urban Expansion Projections
- T13 Participatory Incremental Mapping (PIM)

References
- Catalogue of Graphic References
- Rapid Planning Studio
- GIS Methodology: Future Saudi Cities Programme
- Rapid Planning Toolkit (Prince Foundation)
Objective

Validate the analysis developed by the technical team and identify the main challenges and opportunities of the city that should be addressed in the development plan.

Result

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

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.

Participants

The technical team, advisory committee and 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, and print the maps.
3. Prepare any required material for the session (T6).
4. Follow the instructions on the S.W.O.T. Analysis tool to conduct the activity (T14).
5. Before closing the session, share the next steps of the process with the participants.
6. After the session, review the analysis report and the spatial analysis maps, and make changes according to the comments gathered during the session.

Tools

T6 Workshop Checklist
T14 S.W.O.T. Analysis

References

- Catalogue of Graphic References
- GIS Handbook for Municipalities
- City-scale Plan Assessment Tool
- Rapid Planning Studio
- GIS Methodology: Future Saudi Cities Programme
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 are adjustable to the cultural context and the availability of the participants.

| 08.00  | Registration and breakfast |
| 08.30  | Opening by the Mayor or the project manager followed by a presentation of each participant |
| 09.00  | Plenary session: presentation of the spatial analysis maps and findings |
| 9:45   | Open discussion on presented analysis |
| 10.00  | Coffee break |
| 10.30  | Plenary session: identification of challenges (S.W.O.T. analysis) |
| 13.00  | Lunch break |
| 14.00  | Discussion group: mapping exercise - spatializing challenges and opportunities |
| 15.00  | Plenary session: presentation of the challenges and opportunities maps |
| 16:00  | Closing remarks |
Objective
Identify the city’s key constraints, opportunities and spatial structure.

Results
- Constraints map
- Suitability and opportunity map
- Final assessment report

Description
The diagnostic activity builds on the analysis report and the feedback gathered in the Analysis Validation and Diagnostic Workshop (Activity D12). It concludes the assessment phase by defining the key topics, challenges, and opportunities that the plan should address, and consolidating them in a brief report or a city profile document.

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 localizing the challenges and mapping the most critical features of the city that require prioritized intervention. 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 opportunities or suitability map. This identifies the main opportunities of the plan and potential areas for development. 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 or human issues are identified. These are the zones where the projected population can be potentially accommodated. Once the constraints and suitability maps are completed, it is important to validate the results with the advisory and the steering committee. A validation meeting can be organized to discuss and review specific aspects of the maps.

Steps
1. Review and discuss the spatial analysis maps and the outputs of the Analysis Validation and Diagnostic Workshop (Activity D12).
2. Make a list of the key challenges and opportunities to be addressed in the plan.
3. Produce a constraints map (T19).
4. Review the projected population growth and the amount of land needed (T12).
5. Produce a suitability map.
6. Conduct a validation meeting with the steering committee and the advisory committee.
7. Compile a final report of the assessment phase or a city profile document.
8. Share the final report with the committees and publish it on the municipality or project website.

Tools
- **T12** Urban Expansion Projections
- **T19** Conceptual Structure Guide

References
- Catalogue of Graphic References
Suitability Map of Bissau 2030.
Where do we want to go?

The objective of the second phase is to develop a common vision, a set of strategies and plans that provide spatial and technical support to the future planning of the city. During the assessment phase, the technical team sets the objectives of the urban planning process and define 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 detailed 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.
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.
Objective
Define a shared vision, supported by goals and targets, to guide the Strategic Development Plan and the overall planning process.

Results
- Definition of vision, goals and targets of the Strategic Development Plan.

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 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 legitimized 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 Matrix of References (T3 of Activity A2).

Secondly, the facilitators brief the participants about the outputs of the previous activities. Participants are divided into smaller groups, according to the Sustainable Urban Development 5Ps (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) 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 \(T_6\).
2. Present the international and national urban planning frameworks previously gathered in the Matrix of References \(T_3\) of Activity A2.
3. Divide participants into smaller groups to brainstorm the main vision components: image, purpose, mission and values \(T_{17}\).
4. Formulate the vision collaboratively and then vote on the best version \(T_{17}\).
5. Define the goals and targets aligned to the vision \(T_{17}\).
6. Close the session presenting the final results. If possible, invite more stakeholders and open up to the community the closing session \(T_{17}\).

Tools

- \(T_6\) Workshop Checklist
- \(T_{17}\) Strategic Visioning Workshop Guide

References

- Bissau 2030 Sustainable Development Plan
- SDG Project Assessment Tool
- City Prosperity Initiative
- Sustainable Development Goals Acceleration Toolkit
- Regional Spatial Planning Strategy for Darfur
- Flagship Programme SDG Cities

**Agenda of a 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>
</tr>
</thead>
<tbody>
<tr>
<td>08.00</td>
<td>Registration and breakfast</td>
</tr>
<tr>
<td>08.30</td>
<td>Opening by the Mayor or the project manager followed by a presentation of each participant</td>
</tr>
<tr>
<td>09.00</td>
<td>Plenary session: Presentation of the international and national urban planning framework (key takeaways from the Matrix of References), outputs of previous planning activities.</td>
</tr>
<tr>
<td>11.30</td>
<td>Coffee break</td>
</tr>
<tr>
<td>12.00</td>
<td>Discussion group: Formulation of the vision</td>
</tr>
<tr>
<td>13.30</td>
<td>Lunch break</td>
</tr>
<tr>
<td>14.30</td>
<td>Discussion group: Definition of the goals and targets</td>
</tr>
<tr>
<td>16.00</td>
<td>Presentation of the final results of the sessionalenary session</td>
</tr>
<tr>
<td>17.00</td>
<td>Closing remarks</td>
</tr>
</tbody>
</table>
**Objective**
Elaborate a framework to monitor and evaluate the progress of the Strategic Development Plan, the SDGs impact, the local implementation of the NUA, and the national, regional and local plans’ achievement.

**Results**
- List of key performance indicators linked to the vision, goals and targets
- Final report of the strategic planning (vision, goals, targets, and indicators)

**Description**
Specific and measurable indicators and outcomes 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.

Global SDGs indicators and the SDG voluntary national review (if any) should be consulted to make linkages with them. A thematic issues checklist (T18) ensures that cross-cutting aspects such as social inclusion, resilience and safety are adequately addressed and monitored during the plan development. Use the Monitoring and Evaluation Framework template (T17) to compile the results from the workshop and the technical indicators 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 and targets of the Strategic Visioning Workshop (Activity E15).
2. Define the Development Frameworks linked to each target and goal (T17).
3. Link national and global indicators to targets (T17).
4. Include the cross-cutting issues of urban planning (social inclusion, resilience and safety) and the guidelines of the New Urban Agenda and the Sustainable Development Goals (T18).
5. Formulate any missing indicators that would benefit the monitoring framework.
6. If possible, set up a timeline to monitor the goals and targets.
7. If possible, define participatory mechanisms to measure the progress of the plan with the support of the community.
8. Share the outcomes with the advisory committee for validation.

**Tool**
- **T17** Monitoring and Evaluation Framework
- **T18** Thematic Issues Checklist

**References**
- Sustainable Development Goals 2030 (SDGs)
- SDG Voluntary National Reviews
- Bissau 2030 Sustainable Development Plan
Visioning workshop for the Sustainable Urban Development Framework for Sao Tome Island 2035.
Strategic Development Scenarios

Objective
Stimulate critical planning thinking of stakeholders by identifying strategic development scenarios for the city based on the strengths, the weaknesses, the opportunities and the threats defined by the S.W.O.T. analysis, the diagnostic and the vision.

Results
- Three descriptions of future development scenarios (current tendencies, optimistic scenario, pessimistic scenario).

Description
Strategic development scenarios are a first attempt to propose development strategies. These are descriptive narratives that consider the city's current strengths, weaknesses, opportunities and threats, and are based on the outputs of the previous activities.

The strategic development scenarios activity is elaborated collaboratively between the technical team and the advisory committee. Three scenarios are developed: the first is the current tendencies scenario, and describes how the city would evolve in the next 15 years if no substantial change interferes with the existing urban dynamics. The second is an optimistic scenario, and describes how the city would be if it embraces its opportunities and makes substantial positive steps towards a better future.

Finally, the third captures a pessimistic scenario, and includes how the threats would affect the city and its society. The descriptive narrative of each scenario should capture how the different components of the natural and built environment would look like in the next 15 years and how the community and the social relations will be impacted. Elements such as the natural areas, the public space network, the housing opportunities, the economic life, the public transports, etc are aspects to cover. The development scenarios could also be supported by statistical projections and/or a hypothetical timeline of events that would lead to the final outcome.

Steps
1. Review the outputs of the S.W.O.T. Analysis (T14 of Activity D12), and the new vision of the city.
2. Organise a meeting with the advisory committee to brainstorm strategic development scenarios.
3. Describe three strategic development scenarios (T15), focusing on:
   - The current tendencies scenario
   - The optimistic scenario
   - The pessimistic scenario
4. Review the results and consolidate the final narratives.

Tools
T15 Strategic Development Scenarios Template

References
- Making Microsoft Datacenter Communities More Inclusive and Sustainable
"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 legitimized 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.
Objective
Consolidate the new structure of the city, by defining the urban perimeter and identifying the areas of transformation and consolidation.

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

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. The current structure of the city was developed in the Analysis Activity (D11), using the Participatory Incremental Mapping Tool (T13). This is the base of the conceptual structure for the future city.

Firstly, the technical team should review it and digitalise it before starting this activity. 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 urbanisation. 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 (T12 of Activity D11) and propose an adequate density for the local context and an adequate proportion of public land (30-45%). The urban perimeter could be set 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, two actions for the city development are proposed and different areas should be defined:

- 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, four different categories are identified: strategic transformation zone, social transformation zone, cultural consolidation zone, and environmental consolidation zone (see definition in Tool T20).

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 Participatory Incremental Mapping Tool (T13 of Activity D11).
2. Review the population growth rate, the urban expansion projections, and the trends of growth defined during the analysis (T12).
3. Draw the new urban perimeter and classify the land into urban area, urban expansion or rural area.
4. Define the areas of transformation and consolidation and classify them into strategic transformation zones, social transformation zones, cultural consolidation zones or environmental consolidation zones.
5. Consolidate a map that integrates the new conceptual structure of the city and the development zones.
6. Validate the results with the advisory and steering committee.

Tools

T19 Conceptual Structure Guide

References

- Planned City Extensions: Analysis of Historical Examples
- Urban Planning for City Leaders
**Objective**
Finalise the Strategic Development Plan, by identifying spatial strategies for the transformation and consolidation zones, and the strategic density areas.

**Results**
- Final map representing the Strategic Development Plan, including spatial strategy and strategic density areas.

**Description**
Building on the new conceptual 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 and social). Specific spatial strategies are defined according to the current growth trends, infrastructure capacity, and land occupation (see the Spatial Strategies Guide T20).

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.

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 upgrade existing neighbourhoods, by providing access to basic services (adequate drainage system and sewage, access to drinking water, etc.) public spaces network, integrating mobility, housing upgrading, etc. Examples of urban regeneration interventions are slum upgrading or regeneration of environmentally challenging areas. Finally, conservation strategies focus on fragile areas that accommodate environmental or cultural assets affected by hazards or 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 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 or 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 (T20).
3. Define the levels of density (high, medium or low), considering the city structure and growth projections.
4. Consolidate the Strategic Development Plan map.
5. Conduct a validation meeting with the advisory committee.

Tools
T20 Spatial Strategies Guide
Implementation Strategy

Objective
Develop an implementation strategy for the Strategic Development Plan, identifying priority areas within the conceptual structure, defining and prioritizing catalytic projects, linked with the Monitoring and Evaluation framework.

Results
- List of priority areas and priority catalytic projects
- Final report of the Strategic Development Plan

Description
The implementation strategy of the Strategic Development Plan makes direct linkages between the plan and its implementation. Firstly, identify priority areas among the development zones requiring urgent interventions. Prioritization of areas depends on the current trends of development and the available infrastructure. For instance, an area well-connected with the city structure, close to public services and currently under pressure by informal development is a priority area.

Secondly, a list of catalytic projects identifies concrete entry points that translate the plan into actions. Catalytic and strategic projects are small or medium scale interventions with great potential impact at the city and regional scale, acting as a trigger for the implementation of the Strategic Development Plan (e.g. highway development, slum regeneration, etc.). These could also operate as pilot projects to test specific components of the Plan and calibrate the overall approach. Catalytic projects must be linked with the goals to monitor their impact (T22). They must also be prioritized, depending on the location, time, cost, impact and current agenda of the responsible entity. Map the priority areas and projects of the Strategic Development Plan.

Finally, a comprehensive report is elaborated, to consolidate the process and its outputs, describe the vision, goals, targets and indicators, the conceptual structure, the spatial strategies, and the priority areas and projects. It also lists a series of enabling mechanisms related to legal, institutional, land and finance aspects that will support the implementation of the plan, such as land tenure, resource mobilisation, planning policies on slum upgrading and relocating compensations, social support programmes, mitigation of hazards, incentives for community management and maintenance, etc. These are identified at this stage and will be developed in detail later.

Steps
1. Identify and map priority areas in the Strategic Development Plan.
2. List the catalytic and strategic projects for the plan implementation (T21).
3. Link the projects with related goals, to monitor their impact (T21).
4. Prioritize catalytic and strategic projects considering location, time, cost and impact (T21).
5. List enabling mechanisms that require further elaboration to implement the plan.
6. Consolidate the final report of the Strategic Development Plan.
7. Validate the final report with the steering and advisory committee.
8. Public the report online and through the media.

Tools
T21 Project Prioritization Template

References
- SDG Project Assessment Tool
Objective
Communicate 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 session is the second main event that 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 outcomes (the vision, goals and targets, conceptual structure, spatial strategies and implementation strategy), 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 be also an occasion to validate the prioritization 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, 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. Do 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 (T6).
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 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.

Tools
T6 Workshop Checklist
The Land Management Plan guides the urban development of the city for the next 15 years. It is a regulatory spatial document with legal value that translates the spatial strategies into a detailed land use plan, aligned with the regional and national legal urban policies. 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.

21. Land Management and Control Development
   - mandatory
   - 4-6 weeks
   - 3 tools

22. Sectoral Planning
   - recommended
   - 4-6 weeks

23. Land Development Strategy
   - recommended
   - 2 weeks

24. Public Hearing
   - mandatory
   - 1 day
   - 1 tool
Land Management and Control Development

**Objective**
Define plots and provide regulatory directives, in terms of land use, quantitative and qualitative urban planning directives, and cross-cutting issues.

**Results**
- A land-use map
- A report describing the regulatory directives applied to each sector of the city

**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. 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). Land-use must be carefully planned within the territory, to ensure compatibility of adjacent functions and an equal distribution of services. Providing smart mixed-use land management directives, the Plan will promote and build compact and inclusive 15-minutes cities, with a transit-oriented approach. Specifically, the 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 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 and increase the density of their plots when they are willing to implement best urban practices, such as 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, mobility, basic services, as well as social inclusion, resilience, safety, etc. Use the T Thematic Issues Checklist (T18 of Activity E16) to ensure that every cross-cutting issue is adequately regulated.

Once the 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.
PHASE 2:
PLAN

BLOCK F: LAND MANAGEMENT PLAN

Review the Strategic Development Plan.

Review the Matrix of References (T3 of Activity A2) and the Monitoring & Evaluation Framework (T17 of Activity E16), and the Compatibility of Functions Guide (T22 of Activity F21).

Divide the Development Zones into sub-zones.

Define the following regulatory directives for each sub-zone [T23]:

- Elaborate a compatibility of function guide to detail land use indications, consistent with the Development Zones (social, strategic, environmental, cultural).
- 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).
- Elaborate sectorial recommendations related to mobility, social housing, environment, public facilities, basic services, heritage, etc.
- Elaborate additional cross-cutting recommendations, using the Thematic Issues Checklist (T18), 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.
2. Review the Matrix of References (T3 of Activity A2) and the Monitoring & Evaluation Framework (T17 of Activity E16), and the Compatibility of Functions Guide (T22 of Activity F21).
3. Divide the Development Zones into sub-zones.
4. Define the following regulatory directives for each sub-zone [T23]:
   - Elaborate a compatibility of function guide to detail land use indications, consistent with the Development Zones (social, strategic, environmental, cultural).
   - 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).
   - Elaborate sectorial recommendations related to mobility, social housing, environment, public facilities, basic services, heritage, etc.
   - Elaborate additional cross-cutting recommendations, using the Thematic Issues Checklist (T18), 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.

**Tools**

<table>
<thead>
<tr>
<th>T18</th>
<th>Thematic Issues Checklist</th>
</tr>
</thead>
<tbody>
<tr>
<td>T22</td>
<td>Compatibility of Functions Guide</td>
</tr>
<tr>
<td>T23</td>
<td>Smart Mixed-Use Planning Tool</td>
</tr>
</tbody>
</table>
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, 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
- Constructed Wetland Manual
- A Practical Guide to Designing, Planning, and Executing Citywide Slum Upgrading Programmes
- Streets as tools for urban transformation in slums: a UN-HABITAT approach to citywide slum upgrading
- 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
Objective
Structure the phases of the plan approval process and define preliminary land and financial mechanisms for the plan’s implementation.

Results
- Preliminary draft of land and financial strategy

Description
The approval and integration of the land management plan as a law requires specific procedures, already identified with the Urban Legislation Assessment (T2 of Activity A2). 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. The financial strategy elaborated during the assessment phase, based on the network of partners and the available resources, are also reviewed and iterated at this stage. The technical team should schedule a public hearing and a series of technical meetings with the steering committee to validate the plan.

Several enabling mechanisms are deepened, such as land-related matters, to ensure an equal, inclusive and resilient implementation of the plan. Land is the most valuable resource when it comes to planning and 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 are 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 Urban Legislation Assessment (T2 of Activity A2) and check the plan’s alignment with the local, regional and national legal planning frameworks.
2. Review the financial strategy to develop and implement the plan.
3. Define a preliminary land management strategy, based on existing information.

References
- Financing Urban Shelter
- Global Land Tool Network
- Assessing the Impact of Eviction Handbook
- Fit-For-Purpose Land Administration: Guiding Principles for Country Implementation
- City-wide public space strategies: a compendium of inspiring practices
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

Description
This public hearing session is the third event that is open to the entire community and 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 outcomes, 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 (T6).
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.

Tools
T6 Workshop Checklist
Workshop in Belo Horizonte (Brazil) Prosperity Fund Global Future Cities.
A detailed plan are localized urban development plans which are prepared within the framework of the strategic spatial plan or structure plan. They focus on specific localities of an urban center, and are used to implement the city’s strategic and catalytic projects and/or neighbourhood scale plans. Specifically, it focuses on the development of extension, regeneration or densification interventions. The outputs of this block should be detailed and implementable plans with smart solutions that highly consider social and environmental impact.

**G. DETAILED PLAN**

25. Detailed Data Gathering and Analysis
   - recommended
   - 2 weeks
   - 1 tool

26. Neighbourhood Planning Workshop
   - mandatory
   - 1-2 days
   - 1 tool

27. Neighbourhood Planning and Design
   - mandatory
   - 2 weeks

28. Neighbourhood Public Hearing
   - mandatory
   - 1 day
   - 1 tool
Objective
Gather additional data of the selected area or neighbourhood and develop more detailed spatial analysis regarding the main challenges and opportunities identified in the spatial strategic plan.

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

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.

The first step before starting, is defining the neighbourhood boundary and the polygon for which the plan will be developed. Qualitative and quantitative data is gathered regarding the natural environment, risk and vulnerabilities, demographic and social aspects, accessibility and mobility, built environment, services provision, economic activities, etc. Some information might be available in the local municipality, or included in the maps developed for the analysis and diagnostic. 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, etc.), public space perceptions, local landmarks, etc.

The information is then digitized using Geographic Information System (GIS) software and consolidated. Then, a spatial analysis is conducted following similar methods described in the Analysis activity 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. Review the information and maps produced in the Analysis (Activity D11) and Diagnostic (Activity D13) at the city scale and consolidate any data that corresponds to the neighbourhood boundary.
3. Collect data from municipal offices, academic institutes and/or open source websites.
4. Identify additional data needed and select the methods that will be used to conduct the field research (T24).
5. Consolidate and digitalise all the data into a single GIS database.
6. Define the key analysis to conduct, considering the available information, the objective of the plan, and the main preliminarily identified challenges.
7. Compile the analysis into a series of spatial maps and identify the prioritized issues that should be addressed in the Detailed Plan.

Tools
T24  Detailed Data Gathering and Analysis Checklist

References
- Public Space Site-specific Assessment
Exploratory walk with children to gather data on the quality of public spaces in Sharjah, UAE.
Objective
Validate the analysis developed by the technical team, and 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.)

Description
The Neighbourhood Planning Workshop is a collaborative session to kickstart the development of the Detailed
Plan. Before starting, the technical team should review the stakeholder mapping and carry out a new exercise
to identify relevant stakeholders regarding the selected neighbourhood who need to be included in the process
and development of the Detailed Plan. The workshop can take place in one or two days, according to the time
availability and the capacity of the technical team.

In the first part of the workshop, participants discuss and validate the defined neighbourhood boundary, the
new stakeholder mapping exercise and the data gathering and analysis performed in the previous activity.
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 Detailed 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 specialization (more information can be found below in Additional Guidelines).

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. Instructions on how to develop this type of
workshops can be found below in Additional Guidelines.

Participants
Technical team, the community and relevant stakeholders regarding the selected neighbourhood.
Steps
1. Validate the neighbourhood boundary and the stakeholder mapping exercise for the neighbourhood scale (T25).
2. Review and validate the data gathered and spatial analysis maps, highlighting the challenges and opportunities.
3. Discuss the city’s vision and select specific targets and goals for the Detailed Plan.
4. Review the land uses defined in the Land Management Plan (based on the assigned strategic development zones) and review the spatial strategies (conservation, extension, regeneration, densification) that apply to the neighbourhood area.
5. Design a conceptual scheme for the neighbourhood.

Tools
T25 Neighbourhood Planning Workshop Guide

References
- A New Strategy of Sustainable Neighbourhood Planning: Five Principles
- Using Minecraft for Youth Participation in Urban Design and Governance (Block by Block)
- SDG Project Assessment Tool
- The Block by Block Playbook: Using Minecraft as a participatory design tool in urban design and governance

Agenda of a 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>
</tr>
</thead>
<tbody>
<tr>
<td>08.00</td>
<td>Registration and breakfast</td>
</tr>
<tr>
<td>08.30</td>
<td>Opening by the Mayor or the project manager followed by a presentation of each participant</td>
</tr>
<tr>
<td>09.00</td>
<td>Plenary session: Presentation of the outputs of previous planning activities</td>
</tr>
<tr>
<td>11.30</td>
<td>Coffee break</td>
</tr>
<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>
Objective
Develop an implementable urban design plan based on the data gathering, analysis and participatory activities.

Results
- Neighbourhood urban design plan (Detailed Plan)

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 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, urban form and function design, moderate density additions.
- Conservation zones: no changes in land use, integration and rehabilitation of infrastructure, no changes in current density.

The Detailed 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 design of the city’s strategic catalytic projects, defined in the Strategic Spatial Plan. The third component is the definition of the land and blocks that are or will be privatized and developed. These areas are subdivided into plots of sizes that consider the designated land use and the local urban structure and context. Additionally, especially if the land management plan was not completed, the Detailed 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, facade control details, etc.

Steps
1. Review the data gathering and analysis and the outputs of the Neighbourhood Planning Workshop (Activity G26).
2. Review the development zones and spatial strategies included in the Strategic Development Plan corresponding to the neighbourhood boundary.
3. Design and consolidate the Neighbourhood plan (Detailed Plan).

References
- Using Minecraft for Youth Participation in Urban Design and Governance (Block by Block)
- The Block by Block Playbook: Using Minecraft as a participatory design tool in urban design and governance
### Objective
Share, gather feedback, and validate the Detailed Plan with the neighbourhood and community.

### Results
- Validation of the Neighbourhood Plans

### 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 design of catalytic projects, and the consolidated urban design plan for the neighbourhood.

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.

### Steps
1. Make a public invitation for the event using different communication channels, such as flyers, posters, radio, television, etc \((T6)\).
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.

### Tools
- \(T6\) Workshop Checklist
You can find all the tools in this chapter online too. Make a copy and adapt it as you need.
**Description**

This tool helps define the technical project team members. For the project to be successful, the team needs to fulfill 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 fulfill 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. Define if the staff will be internal to the organization/institution or if any new hires or partners are needed.*

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

<table>
<thead>
<tr>
<th>Role</th>
<th>(Name/ contact)</th>
<th>Description</th>
</tr>
</thead>
<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 organizations.</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>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Role</th>
<th>(Name/ contact)</th>
<th>Description</th>
</tr>
</thead>
<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>
</tr>
<tr>
<td><strong>Urban legislation</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**T1 List of Minimum Required Expertise and Partners**

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.

<table>
<thead>
<tr>
<th>Risk reduction and climate planning</th>
<th>(Name/ contact)</th>
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</thead>
<tbody>
<tr>
<td>Will provide expertise on urban resilience, risk reduction actions, and climate adaptation and mitigation strategies.</td>
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<table>
<thead>
<tr>
<th>Housing</th>
<th>(Name/ contact)</th>
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</thead>
<tbody>
<tr>
<td>Will provide expertise on housing and inclusive community development at different urban scales.</td>
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</table>

<table>
<thead>
<tr>
<th>Transport and mobility</th>
<th>(Name/ contact)</th>
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</thead>
<tbody>
<tr>
<td>Will provide expertise on transportation systems and sustainable urban mobility strategies.</td>
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</table>

<table>
<thead>
<tr>
<th>Social inclusion</th>
<th>(Name/ contact)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Will provide expertise on inclusive policies, engagement of vulnerable groups, social housing, inclusive slum regeneration strategies and fair land management regulations.</td>
<td></td>
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</tbody>
</table>

**Other expertise**

<table>
<thead>
<tr>
<th>(Expertise)</th>
<th>(Name/ contact)</th>
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<tbody>
<tr>
<td>(Expertise)</td>
<td>(Name/ contact)</td>
</tr>
<tr>
<td>(Expertise)</td>
<td>(Name/ contact)</td>
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</tbody>
</table>

**List of technical team members**

<table>
<thead>
<tr>
<th>Internal members</th>
<th>New hires or contractors / Partners / External support</th>
</tr>
</thead>
<tbody>
<tr>
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</tbody>
</table>

**Participants**

This tool helps define the technical project team members. For the project to be successful, the team needs to fulfill at least the minimum required roles. If there are available resources, it is recommended to include additional expertise and roles.

- **Urban legislation**: Facilitate the legal aspect of the planning process.
- **Risk reduction and climate planning**: Will provide expertise on urban resilience, risk reduction actions, and climate adaptation and mitigation strategies.
- **Housing**: Will provide expertise on housing and inclusive community development at different urban scales.
- **Transport and mobility**: Will provide expertise on transportation systems and sustainable urban mobility strategies.
- **Social inclusion**: Will provide expertise on inclusive policies, engagement of vulnerable groups, social housing, inclusive slum regeneration strategies and fair land management regulations.

**New hires or contractors / Partners / External support**

This task is carried out by the person responsible for building the technical planning team.
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 [https://unhabitat.org/planning-law-assessment-framework](https://unhabitat.org/planning-law-assessment-framework).

**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
   - 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? Provide a map.
   - 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 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:
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

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

3. Discuss and answer the following regulatory framework checklist.

Legal requirements for plan approval

- Which institutional body/ies is/are responsible for approving local plans?
- What are the requirements for the planning document approval? Keep in mind:
  - National and regional policies alignment (coherence between plans)
  - National and regional 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?
### T3 Matrix of References

**Description** This matrix guides 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 urban development. However, what they look like varies according to the planning scale with their different functions and competences.

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

<table>
<thead>
<tr>
<th>International Agendas identification</th>
</tr>
</thead>
<tbody>
<tr>
<td>Which International Agendas are you familiar with?</td>
</tr>
<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>
</tr>
<tr>
<td>☐ SAMOA Pathway</td>
</tr>
<tr>
<td>☐ New Urban Agenda</td>
</tr>
</tbody>
</table>

What are the locality responsibilities?

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

Which institutional body/ies is/are responsible/s for approving local plans?
### National Agendas Identification

#### United Nations Development Assistance Framework (UNDAF/ UNPAF)

What are the UNDAF/ UNPAF pillars?

<table>
<thead>
<tr>
<th>Description</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>International agenda, agreements and frameworks are documents globally endorsed by member states and it can guide the achievement of sustainable urban development. However, what they look like varies according to the planning scale with their different functions and competences.</td>
<td></td>
</tr>
</tbody>
</table>

#### Habitat Country Programme Document (UN-Habitat)

What are the HCPD pillars?

#### SDGs prioritized at the National Level

What are the Measurable SDGs prioritized in the country and reported by the Voluntary National Reviews (VNR)?

<table>
<thead>
<tr>
<th>Description</th>
<th>Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Participants</td>
<td>This activity is carried out by the technical team, the advisory committee and the steering committee.</td>
</tr>
</tbody>
</table>

2. **Review the National agenda and frameworks for sustainable development**
T4 Financial Assessment Checklist

**Description** This checklist 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 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

<table>
<thead>
<tr>
<th>Summary Statistics of Revenue</th>
<th>Total Revenue</th>
<th>% of Total OSR</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Revenue</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>Total OSR + Total Central Government Transfers</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Revenue per Capita</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><em>(Total Revenue / Population)</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Central Government Transfers</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Own Source Revenue</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Central Government Transfers % of Total Revenue</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>*(Central Government Transfers / Total Revenue) *100</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Own Source Revenue (OSR) % of Total Revenue</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>*(Own Source Revenue / Total Revenue) *100</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Breakdown of Own Source Revenue

<table>
<thead>
<tr>
<th>Category</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>
<tr>
<td>Business registration-related fees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Health-related fees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Market fees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Road-related fees</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sales-related taxes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tourism / entertainment - related income</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Income-related taxes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tariff-related taxes</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other:</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Own Source Revenue</strong></td>
<td></td>
<td><strong>100%</strong></td>
</tr>
</tbody>
</table>

| Other:                          |       | **100%**       |
|**Total Own Source Revenue**    |       | **100%**       |
**EXPENDITURE**

**Summary Statistics of Expenditure**

**Total Expenditure**

*Total Breakdown of Expenditure + Cost of Revenue Collections*

- Annual average expenditure (in the past 5 years)
- % of Annual budget covered by current revenue
  
  \[(\text{Annual budget} \div \text{Total Revenue}) \times 100\]

**Cost of Revenue Collections**

**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>Other:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Total Expenses**: 100%

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

**Budget**

**Annual budget for current year**

**Budget available for the elaboration of the plan/project**

*Total revenue - Total expenditure*
**Description** This tool aims to support the process definition, by selecting which are the minimum number of activities and tools to develop and implement a plan. Different aspects should be considered to ensure a sustainable process, aligned with the objectives and the internal capacities of the municipality in terms of time, budget, territorial ownership, availability of expertise, etc. The tool has three sections: 1) Questionnaire 2) Assessing Table and 3) Workplan.

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

**Section 1. Questionnaire**

It is important to start by having a clear project objective, as planning processes can have different goals: develop a statutory planning, 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**

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

| How big is your city? | Urban Population *(number)* | ............................................
|-----------------------|-----------------------------| ----------------------------------|
|                       | Extension *(square kilometer)* | ............................................
|                       | Strategic role at the regional/national scale *(low, medium, high)* | ............................................

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

Why do you need a new plan?

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

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, etc.)?

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

Why did you choose this toolbox and what are you willing to improve in your planning process?

..........................................................................................................................................................
..........................................................................................................................................................
..........................................................................................................................................................
..........................................................................................................................................................
It is important to start by having a clear project objective, as planning processes can have different goals:

- Strategic role at the regional/national scale
- Extension of current planning standards
- Focus on a detailed plan
- Implement an existing plan

The following activities and tools to develop and implement a plan differ from one another depending on the project’s context, time, budget, territorial ownership, availability of expertise, etc. The tool has three sections:

1. **Questionnaire**
   - 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, etc.)

2. **Assessing Table**
   - Why do you need a new plan?
   - How big is your city?

3. **Workplan**
   - Why did you choose this toolbox and what are you willing to improve in your planning process?

The tool aims to support the process definition, by selecting which are the minimum number of different aspects should be considered to ensure a sustainable process, aligned with the objectives and the internal capacities of the municipality in terms of spatial and planning components, governance, finance, social inclusion, etc.

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

The assessing table helps to evaluate the strengths and weaknesses of the technical board and determine which is the advisable planning process to follow (basic - medium - advanced). The level of complexity and the required number of activities decrease according to the availability of internal resources. Once the self-assessment tool is carried out, the actual list of activities and tools should be defined and compiled by the team.

### Blocks and status

<table>
<thead>
<tr>
<th>Block 1: Contextualisation</th>
<th>Block 2: Project Preparation</th>
<th>Block 3: Participation Set-Up</th>
<th>Block 4: Analysis &amp; Diagnostic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Block 5: Strategic Development Plan</td>
<td>Block 6: Land Management Plan</td>
<td>Block 7: Detailed Plan</td>
<td>Block 8: Action Plan</td>
</tr>
<tr>
<td>Block 13: Implementing Mechanisms</td>
<td>Block 14: Accountability System</td>
<td>Notes:</td>
<td></td>
</tr>
</tbody>
</table>

5. **Check the blocks you have already done and discuss the ones you need to develop.** You can use different colors or initials to indicate the progress: green / D = done, orange / IP = in progress, red / ND = not done.

### Section 2. Assessing Table

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 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 an incremental approach.

The assessing table helps to evaluate the strengths and weaknesses of the technical board and determine which is the advisable planning process to follow (basic - medium - advanced). The level of complexity and the required number of activities decrease according to the availability of internal resources. Once the self-assessment tool is carried out, the actual list of activities and tools should be defined and compiled by the team.
Instructions

Using the assessment table below, evaluate the level of available 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>
</tr>
</thead>
<tbody>
<tr>
<td>5-7</td>
<td>Basic process</td>
</tr>
<tr>
<td>8-12</td>
<td>Medium process</td>
</tr>
<tr>
<td>13-15</td>
<td>Advanced process</td>
</tr>
</tbody>
</table>

↑ Less required activities
↓ More required activities

### Category

<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 centralized system.</td>
<td>□ The local government is unstable or has limited decisional power on its territory, due to a more centralized 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. Workplan

After understanding the project objective, evaluating the available resources and determining the type of planning process that should be followed, develop a preliminary work plan using and adjusting the Project Work Plan Template (Digital Tools spreadsheet)
**T6 Workshop Checklist**

**Description** This tool provides guidelines to carry out any planning activity as a workshop, to allow for more participation, collaboration, and interaction. Workshops can take place in-person or online, 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.

### In-person workshop

- Participants gather in the same physical space to carry out an activity in a participatory way.

### Online workshop

- Participants meet online synchronously (at the same time) using a digital tool.

#### 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).

#### Online workshop

- 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.

### Workshop general guidelines

#### Preparation

- Define if the workshop will be carried out in person or online.
- 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.
- 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. Lets 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
T6 Workshop Checklist

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.

**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.
- 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>
</table>
| Video conferencing, meetings, workshops, webinars, | Zoom, Google Meet, Microsoft Teams  
Facebook Live, Instagram Live, Youtube Live (for webinars and virtual events) |
| Collaborative documents, spreadsheets, presentations | Google Docs, Google Sheets, Google Slides |
| Brainstorms, digital boards, collaborative design | Miro, Invision, Mural, Google Jamboard |
| Surveys                                | Google Forms, KoBo Toolbox (asynchronous)  
Mentimeter, Poll Everywhere (synchronous, for interactive questionnaires during presentations/workshops. |
| Invitations, event communications     | Mail Chimp                                 |
### T6 Workshop Checklist

<table>
<thead>
<tr>
<th>Social media (Whatsapp groups, Facebook, Instagram)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project management</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Workshop evaluation questionnaire</th>
</tr>
</thead>
</table>

#### Overall, how do you rate this workshop?

- Poor
- Fair
- Good
- Very good
- Excellent

#### How much do you agree with the following statements?

<table>
<thead>
<tr>
<th>1 = Strongly disagree</th>
<th>2 = Disagree</th>
<th>3 = Neutral</th>
<th>4 = Agree</th>
<th>5 = Strongly Agree</th>
</tr>
</thead>
<tbody>
<tr>
<td>The workshop was useful</td>
<td>□ 1 □ 2 □ 3 □ 4 □ 5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The workshop objectives were stated and clearly met</td>
<td>□ 1 □ 2 □ 3 □ 4 □ 5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The workshop was well organized</td>
<td>□ 1 □ 2 □ 3 □ 4 □ 5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activities and discussions were well facilitated</td>
<td>□ 1 □ 2 □ 3 □ 4 □ 5</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The length of the workshop sufficient</td>
<td>□ 1 □ 2 □ 3 □ 4 □ 5</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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

………………………………………………………………………………………………………………………………………………………………

#### What did you enjoy the most?

………………………………………………………………………………………………………………………………………………………………

#### What did you enjoy the least?

………………………………………………………………………………………………………………………………………………………………

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

………………………………………………………………………………………………………………………………………………………………

#### (Additional questions)

………………………………………………………………………………………………………………………………………………………………
**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.*

### Justification of the project

- Why is it relevant to develop an urban planning process?

### Context of the project

- What is the project background?
- What is the legal framework for the planning process?
- Does the city already have a plan? When was it last updated?
- What is the local context of the city (population, growth, density, risks, infrastructures, etc.)?

### Objectives and Strategies

- What are the project’s objectives? Some examples include:
  - Produce/update a plan for the city
  - Provide a legal framework for planning processes
  - Identify the extension zones to absorb the urban growth in the next 15 years
- What is the area of study for the plan?
- What strategies and processes will be implemented to meet those objectives? Some examples include:
  - Follow a participatory approach
  - Build a solid data base for the city
- What are the risks and challenges for developing this project? What are potential solutions to address them?

### Team

- What expertise and roles are needed to complete the planning process and project? (Use the List of Minimum Required Expertise and Partners (T1) tool)
- Who will be in charge of each task?

### Deliverables

- What are the expected deliverables and their content? Suggestions:

  **Deliverable 1: Analysis and diagnosis**, which includes:
  - Multiscale analysis
  - Topics (Governance, infrastructure, land use, environment, etc.)
  - Maps and scales
  - Strategic vision

  **Deliverable 2: Urban plan**, which includes:
  - Suitability map
  - Sectoral plans
- 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 Stakeholders' Mapping (T8) 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 Self-Assessment Template (T5) 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 Matrix of References (T3) tool).

### Work plan

- What is the work plan and deadlines to achieve the project activities and goals? (Use the work plan established in the Self-Assessment Template (T5)).

### Budget

- What is the project budget? How will financial resources be allocated?
T8 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 (T6) 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.

2. Categorize 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
5. Designate the members of the steering committee and the advisory committee.

<table>
<thead>
<tr>
<th>Government institutions who should be involved in the planning process</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Names of institutions and authorities</strong></td>
</tr>
<tr>
<td>……………………………………………………………………………………………………………</td>
</tr>
<tr>
<td>……………………………………………………………………………………………………………</td>
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</tr>
<tr>
<td>……………………………………………………………………………………………………………</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non-government stakeholders who should be involved because of their interest or influence on the project</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Names of stakeholders</strong></td>
</tr>
<tr>
<td>Private sector</td>
</tr>
<tr>
<td>……………………………………………………………………………………………………………</td>
</tr>
</tbody>
</table>
# T8 Stakeholders' Mapping

<table>
<thead>
<tr>
<th>Stakeholders</th>
<th>Names</th>
</tr>
</thead>
<tbody>
<tr>
<td>NGOs, civil society associations</td>
<td>![List of names]</td>
</tr>
<tr>
<td>Religious and/or ethnic groups</td>
<td>![List of names]</td>
</tr>
<tr>
<td>Women and girls (associations or organisations)</td>
<td>![List of names]</td>
</tr>
<tr>
<td>Children and youth (associations or organisations)</td>
<td>![List of names]</td>
</tr>
<tr>
<td>Older persons (associations or organisations)</td>
<td>![List of names]</td>
</tr>
<tr>
<td>Persons with disabilities (associations or organisations)</td>
<td>![List of names]</td>
</tr>
<tr>
<td>Migrants, refugees, stateless, internally displaced persons or indigenous people (associations or organisations, if any)</td>
<td>![List of names]</td>
</tr>
<tr>
<td>Other vulnerable and minority groups</td>
<td>![List of names]</td>
</tr>
<tr>
<td>Other independent actors or relevant stakeholders</td>
<td>![List of names]</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:*

<table>
<thead>
<tr>
<th>Name</th>
<th>Name</th>
<th>Name</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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 heterogenous group of experts such as members of the government, private sector, academia, NGOs, vulnerable groups, international organizations, 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:*

<table>
<thead>
<tr>
<th>Name</th>
<th>Name</th>
<th>Name</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>
T9 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 prioritize, guide, and keep track of the map production process.

**Participants** Technical team

**Link** Digital Tools spreadsheet

T11 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 prioritize, guide, and keep track of the analysis process.

**Participants** Technical team

**Link** Digital Tools spreadsheet

T12 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
**T10 Matrix of Functions (MoF)**

**Description** The Matrix of Functions (MoF) supports the territorial analysis by giving a shared and factual understanding of the spatial structure and the land use. The visual correlation of each function by region provides the complete picture of its distribution and enables 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.

### 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. The functions can be related to education (e.g. schools, universities, training centers), economy (e.g. shops, stores, restaurants), mobility (e.g. bus stop, bike lanes), environment (park, public square), health (pharmacies, medical centers), 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. **Organize the functions by hierarchy:** higher results on the left and lower answers on the right.
4. **Organize 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. **Highlight the lowest answers** to identify the main development challenges.
T10 Matrix of Functions (MoF)

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

<table>
<thead>
<tr>
<th>Sector of Analysis</th>
<th>Water network</th>
<th>Primary school</th>
<th>Sanitation and drainage system</th>
<th>General stores and shops</th>
<th>Pharmacy</th>
<th>Electricity and telecommunication network coverage</th>
<th>Trees</th>
<th>Public squares, playgrounds, etc.</th>
<th>Primary school</th>
<th>Trees</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sector 1</td>
<td>5</td>
<td>5</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>1</td>
<td>2</td>
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<td>2</td>
</tr>
<tr>
<td>Sector 2</td>
<td>5</td>
<td>3</td>
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<td>1</td>
<td>2</td>
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<td>Sector 3</td>
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<td>5</td>
<td>5</td>
<td>2</td>
<td>4</td>
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<td>2</td>
<td>0</td>
<td>0</td>
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<tr>
<td>Sector 4</td>
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<td>4</td>
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<td>5</td>
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<td>4</td>
<td>4</td>
<td>2</td>
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<tr>
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<td>4</td>
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</tr>
<tr>
<td>Sector 8</td>
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<td>3</td>
<td>2</td>
<td>4</td>
<td>4</td>
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<tr>
<td>Sector 10</td>
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<td>2</td>
<td>4</td>
<td>4</td>
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<td>1</td>
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<tr>
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<tr>
<td>Sector 13</td>
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<td>0</td>
</tr>
<tr>
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<td>2</td>
<td>4</td>
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</tr>
<tr>
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<td>4</td>
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<td>2</td>
<td>4</td>
<td>4</td>
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</tr>
<tr>
<td>Sector 18</td>
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<td>4</td>
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<tr>
<td>Sector 19</td>
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<td>4</td>
<td>4</td>
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</tr>
<tr>
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<tr>
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<td>4</td>
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<td>1</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>Sector of Analysis</th>
<th>Air Pollution</th>
<th>Bad quality of roads</th>
<th>Not enough number of schools</th>
<th>Not enough transportation options or connectivity</th>
<th>Lack of water network</th>
<th>Not enough number of health facilities</th>
<th>Water bodies degraded/polluted</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sector 1</td>
<td>5</td>
<td>4</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Sector 2</td>
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<td>4</td>
<td>4</td>
<td>3</td>
<td>2</td>
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<td>1</td>
</tr>
<tr>
<td>Sector 3</td>
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<td>3</td>
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<td>2</td>
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</tr>
<tr>
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<td>4</td>
<td>3</td>
<td>2</td>
<td>2</td>
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</tr>
<tr>
<td>Sector 5</td>
<td>4</td>
<td>4</td>
<td>4</td>
<td>3</td>
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<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Sector 6</td>
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<td>3</td>
<td>3</td>
<td>3</td>
<td>2</td>
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<td>0</td>
</tr>
<tr>
<td>Sector 7</td>
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<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Sector 8</td>
<td>3</td>
<td>3</td>
<td>3</td>
<td>3</td>
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<td>0</td>
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<tr>
<td>Sector 9</td>
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<td>3</td>
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<td>3</td>
<td>3</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Sector 11</td>
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<tr>
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<td>3</td>
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</tr>
<tr>
<td>Sector 13</td>
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<td>0</td>
<td>0</td>
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</tr>
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<td>Sector 17</td>
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<td>3</td>
<td>3</td>
<td>3</td>
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<td>0</td>
<td>0</td>
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<td>3</td>
<td>2</td>
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<td>0</td>
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<td>0</td>
</tr>
<tr>
<td>Sector 21</td>
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<td>3</td>
<td>3</td>
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<td>0</td>
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<tr>
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<td>3</td>
<td>3</td>
<td>2</td>
<td>0</td>
<td>0</td>
</tr>
</tbody>
</table>

**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).

**Note:** Edit the Template to adapt to the specific context of the city. It is important to address questions that will enable filling the gaps of information. The questions may be as general/specific as needed.
# T10 Matrix of Functions (MoF)

## 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 centers, training centers, 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>Category</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</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></td>
<td></td>
<td></td>
<td></td>
<td></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 center</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?

<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 health facilities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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).

Note:
Edit the Template to adapt to the specific context of the city. It is important to address questions that will enable filling the gaps of information. The questions may be as general/specific as needed.
### Transportation barriers

- **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>
<tbody>
<tr>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
</tbody>
</table>

### INFRASTRUCTURE

6. 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>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.*

- **Lack of water network**
- **Lack of economic resources (affordability)**
- **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>
<tbody>
<tr>
<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.*

- **Lack of electricity network**
- **Lack of economic resources (affordability)**
- **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>
<tbody>
<tr>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
<td>□</td>
</tr>
</tbody>
</table>
9. **What are the challenges** in transportation within this 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>Lack of roads</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bad quality of roads</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lack of public transportation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not enough transportation options or connectivity</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>

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.*

<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 roads</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bad quality of roads</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lack of public transportation</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Not enough transportation options or connectivity</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>

11. **What percentage** of people in your neighbourhood go to other neighbourhoods everyday for essential activities (work, education, groceries, etc.)?  

<table>
<thead>
<tr>
<th>Percentage</th>
<th>Neighbourhood 1</th>
<th>Neighbourhood 2</th>
<th>Neighbourhood 3</th>
<th>Neighbourhood 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 = No one</td>
<td>1 = Less than 25%</td>
<td>2 = 25-50%</td>
<td>3 = 50-75%</td>
<td>4 = More than 75%</td>
</tr>
</tbody>
</table>

**Environment, Social and Culture**

12. **How do you evaluate the availability** of the following facilities in your neighbourhood  

<table>
<thead>
<tr>
<th>Facility</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>
</tbody>
</table>
### T10 Matrix of Functions (MoF)

<table>
<thead>
<tr>
<th>Facility</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Theater 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>
</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>Facility</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>Theater and cinema</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other cultural or social facility (please indicate):</td>
<td></td>
<td></td>
<td></td>
<td></td>
<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>
<td></td>
<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>
<tr>
<td>Other (please indicate):</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
T13 Participatory Incremental Mapping (PIM)

**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 Workshop Checklist (T6) tool for more details).

### Materials

<table>
<thead>
<tr>
<th>Maps &amp; documents:</th>
<th>Drawing &amp; sketching tools:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Printed base map(s) and aerial image(s) of the</td>
<td>• Rolls of tracing paper of sufficient size to sketch on top of the</td>
</tr>
<tr>
<td>municipality at different scales.</td>
<td>maps.</td>
</tr>
<tr>
<td>• Existing planning documents, upon availability.</td>
<td>• Thick drawing markers of different colours (black, green, blue, red, yellow, brown, orange).</td>
</tr>
<tr>
<td>• Set of photos considered useful to illustrate the</td>
<td>• Black fine liners and pencils.</td>
</tr>
<tr>
<td>area of study.</td>
<td></td>
</tr>
</tbody>
</table>

### Definitions

<table>
<thead>
<tr>
<th>Paths</th>
<th>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.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Edges</td>
<td>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.</td>
</tr>
<tr>
<td>Landmarks</td>
<td>External elements that provide orientation in the city. These have different characteristics and can be functional, cultural/historical, environmental, etc.</td>
</tr>
<tr>
<td>Nodes</td>
<td>Areas of convergence, where there is an aggregation of landmarks and/or conjunction of paths.</td>
</tr>
<tr>
<td>Zones</td>
<td>Areas containing similar dynamics in the spatial structure.</td>
</tr>
<tr>
<td>Urban consolidation</td>
<td>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.</td>
</tr>
<tr>
<td>Urban transformation</td>
<td>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.</td>
</tr>
</tbody>
</table>

### 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. The following instructions apply to each group.**

3. **Using the satellite images, locate and mark on the tracing paper:**
   - Primary paths (crossing the urban structure) and edges of the city.
   - Secondary paths (usually distributing from primary and secondary) and tertiary paths (usually connecting secondary).
   - Primary functional, cultural/historical, and environmental landmarks.
T13 Participatory Incremental Mapping (PIM)

- Functional cultural/historical and environmental landmarks included in the Matrix of Functions (MoF) (T10 of Activity D10), if applicable, with a focus on functional landmarks that are traffic generators.

4. 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.

5. Identify the current urban expansion dynamics of the city and discuss to determine and mark the current urban edge.

6. 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).

7. 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.

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

9. 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.

10. 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.

Step 3. Map Consolidation

1. After validating the information of the technical participatory map in all neighbourhoods, 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.

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.

Example: Bahir Dar, Ethiopia
T14 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, 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, 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, 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, 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 color 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. See the Workshop Checklist (T6) tool for more details.

Step 2. Brainstorming and 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.
In this step, the planning team will introduce the tool. The objective 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. They are the major assets which can be worked upon to become strengths and the external factors (opportunities and threats). It helps to define strengths, weaknesses, opportunities, and threats in the city. Examples: low mortality rates, clean environment, economy, good public service coverage (housing, sanitation, etc.).

The external factors are those which the municipality has limited or no control over but needs to be aware of. Examples: high unemployment rates, environmental pollution, high violence levels, etc.

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

Step 1. Identifying Strengths, Weaknesses, Opportunities, and Threats

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 a picture).

**Step 2. Mapping**

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).
**T14 S.W.O.T. Analysis**

1. Divide the participants in small groups. Hand out a basic map of the city and pens of 2 different colors (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. The Constraints and Opportunity Mapping exercise is complete. Document the results (take a picture).
**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 S.W.O.T. Analysis (T14 of Activity D12). Have a printed version for consultation during the activity.**

2. **Write down ideas for each of the following scenarios, taking into 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>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Current tendencies scenario</strong></td>
</tr>
<tr>
<td><strong>Optimistic scenario</strong></td>
</tr>
<tr>
<td><strong>Pessimistic scenario</strong></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>Status quo</strong></td>
<td><strong>Current tendencies scenario</strong></td>
</tr>
<tr>
<td>..........................................................</td>
<td>..........................................................</td>
</tr>
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<tr>
<td>..........................................................</td>
<td>..........................................................</td>
</tr>
</tbody>
</table>
### T15 Strategic Development Scenarios Template

<table>
<thead>
<tr>
<th>Opportunities</th>
<th>Optimistic scenario</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Threats</th>
<th>Pessimistic scenario</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</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.
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:
   a) The key takeaways and considerations from the Matrix of References.
   b) The outputs of previous planning activities that are relevant to formulate the vision of the city (diagnostic findings, S.W.O.T. Analysis (T14 of Activity D12), Participatory Incremental Planning (PIM) (T13 of Activity D11), Matrix of Functions (MoF) (T10 of Activity D10), etc.)
   c) 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, organizations, committees, gender, age, etc.

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.). 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 systematized before the Visioning Workshop and is shared with participants to use as input for this activity.
Vision

<table>
<thead>
<tr>
<th>Image</th>
<th>How would you like your city to be in 2030? E.g. sustainable, safe, prosperous, resilient, etc.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purpose</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>Mission</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>Values</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).

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.

7. The most voted version is defined as the strategic vision for the city, and it is shared among the city’s residents.

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) and the New Urban Agenda.

1. Divide participants into smaller groups, according to the Sustainable Urban Development 5/6P’s (People/Planet/Partnerships/Prosperity/Peace/Planning). Ensure diversity according to sectors, organizations, committees, gender, age, etc.

2. Participants define the main issues related to each sector of the 6 P’s.
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, risk and resilience, 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. Participants spatialize the different initiatives, actions, and programs, by drawing them on tracing paper over a city map.

6. Each group shares their results in plenary, collecting feedback or any other ideas that come up. The notetaker should document the discussion.

7. After the workshop, the technical team systematizes 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

<table>
<thead>
<tr>
<th>Goal</th>
<th>By 2030, elderly adults and vulnerable groups will be an essential part of the city’s design. (This came up from the “inclusive and equitable city” larger topic).</th>
</tr>
</thead>
</table>
| Targets | • Consider ageing as an opportunity for the creation of new jobs, thereby improving the quality of life of the urban population.  
• Increase the number and improve city programs that provide care to the elderly. This includes strengthening existing programs and creating welfare centers in strategic areas of the city.  
• Guarantee that people with disabilities have safe access to the physical environment of the city, particularly to public spaces, public transport, housing, education and health services. |
**T17 Monitoring and Evaluation Framework**

**Description** This tool aims to gather all the indicators extracted from the International and National agendas to measure the achievement of the established goals and targets, and 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 (T16) (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.

   **Tip:** Each goal should be related to at least one of the 17 SDGs in order to be as inclusive as possible.

3. Define the Development Framework linked to each target. Review the Matrix of References (T3 of Activity A2) and the following frameworks:
   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

   **Tip:** Targets should be linked to global, national and local Agreements and Plans.

4. Identify and select clear and measurable indicators for each target, linked to the Development Frameworks.

   **Tip:** When assigning indicators, one should always take note of the source it is coming from (ideally Agenda 2030 itself, or another document of the Matrix of Reference), and make them as few as possible, reflecting on:
   - Is this indicator a priority?
   - Has it ever been collected? Does it have a baseline?
   - What is the strategy for the data collector?

5. Define a timeframe to monitor the achievement of these indicators throughout the process and after the process of implementation.

   **Tip:** 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. 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:

### Goal 1: Compact and Vibrant City

<table>
<thead>
<tr>
<th>Targets</th>
<th>Development Frameworks</th>
<th>Indicators</th>
</tr>
</thead>
</table>
| Stimulate mixed use and the consolidation of diversified secondary centres, especially along transport corridors. | New Urban Agenda (NUA) Sustainable Development Goals (SDGs) | 2.2.1: Proportion of population living in households with access to basic services (SDG 1.4.1)  
2.2.2: Proportion of total adult population with secure tenure rights to land, with legally recognised documentation and who perceive their rights to land as secure, by sex and by type of tenure (SDG 1.4.2)  
2.2.3: Proportion of informal settlements within total urban fabric, disaggregated by the year of occupation (NUA, paragraph 25 and 77) |
**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.

### Social Inclusion

How much are the groups below targeted and addressed in the plan, its strategies, recommendations and regulatory directives? Please consider access to housing, basic services, health care, education, public spaces and other benefits of urbanization.

<table>
<thead>
<tr>
<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><strong>Women</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Older persons</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Adolescents, children and youth (especially girls and young women)</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Persons with physical disabilities</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Persons with mental health conditions</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Migrants, refugees, stateless and internally displaced persons</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Minorities</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Slum dwellers, people in informal settlements, homeless persons</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>People living with human immunodeficiency virus infection and acquired immune deficiency syndrome (HIV/AIDS) and other people with pre-existing medical conditions</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>People in extreme poverty or facing insecure and informal work/income</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Groups that are particularly vulnerable and marginalized because laws, policies and practices do not protect them from discrimination and exclusion (e.g. LGBTI people)</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Persons in detention or in institutionalized settings (e.g. persons in psychiatric care, drug rehabilitation centres, old age homes)</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Specific populations/groups as relevant in the national context</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
<tr>
<td><strong>Informal sector and self-employed who depend on markets for food as well as small farmers, fishers, pastoralists, etc.</strong></td>
<td>☐ 1</td>
<td>☐ 2</td>
<td>☐ 3</td>
</tr>
</tbody>
</table>
### Resilience

How much is the capacity to maintain continuity of the items below addressed 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>Natural environment resilience</td>
<td>□ 1</td>
<td>□ 2</td>
<td>□ 3</td>
<td>□ 4</td>
</tr>
<tr>
<td>Built-environment/infrastructure systems resilience</td>
<td>□ 1</td>
<td>□ 2</td>
<td>□ 3</td>
<td>□ 4</td>
</tr>
<tr>
<td>Municipal finance resilience</td>
<td>□ 1</td>
<td>□ 2</td>
<td>□ 3</td>
<td>□ 4</td>
</tr>
<tr>
<td>Institutional resilience</td>
<td>□ 1</td>
<td>□ 2</td>
<td>□ 3</td>
<td>□ 4</td>
</tr>
</tbody>
</table>

### Safety

How much the items below are 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</td>
<td>□ 2</td>
<td>□ 3</td>
<td>□ 4</td>
</tr>
<tr>
<td>Crime prevention</td>
<td>□ 1</td>
<td>□ 2</td>
<td>□ 3</td>
<td>□ 4</td>
</tr>
<tr>
<td>Violence prevention</td>
<td>□ 1</td>
<td>□ 2</td>
<td>□ 3</td>
<td>□ 4</td>
</tr>
<tr>
<td>Inequality reduction</td>
<td>□ 1</td>
<td>□ 2</td>
<td>□ 3</td>
<td>□ 4</td>
</tr>
<tr>
<td>Promotion and preservation of jobs and livelihoods</td>
<td>□ 1</td>
<td>□ 2</td>
<td>□ 3</td>
<td>□ 4</td>
</tr>
</tbody>
</table>
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 Participatory Incremental Mapping Tool (PIM) (T13 of Activity D11) 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 population growth rate and the urban expansion projections (T12 of Activity D11).

3. 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: Analyze the possible directions of urban expansion and take into 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>Urban area</th>
<th>Land that has already been subdivided into plots (formally or informally) or land contained by an existing or former urban perimeter.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Urban expansion</td>
<td>Land within the city limits destined for urban expansion. This is land that has not been urbanized 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 urbanized or subdivided into plots, outside the newly defined urban perimeter and within the city limits.</td>
</tr>
</tbody>
</table>

Example:
4. 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>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>Cultural Consolidation Zone</strong></td>
</tr>
<tr>
<td>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).</td>
</tr>
<tr>
<td><strong>Environmental Consolidation Zone</strong></td>
</tr>
<tr>
<td>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.</td>
</tr>
</tbody>
</table>

5. Consolidate a map that integrates the new conceptual structure of the city and the development zones.

**Example:**

6. Validate the results with the advisory and steering committee.
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 does it means high, medium and low density in your context.
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%)?
   e. Where are the central districts? What are the main axess of mobility? Where are the current trends of urbanisation going?

<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 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. 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 color 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.).
Description This tool provides a rational criteria to prioritize strategic and 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 strategic and catalytic projects that emerged during the Visioning Workshop and previous activities.

2. Discuss and identify with the steering committee any further catalytic and strategic projects and the municipality priorities considering the current agenda.

3. Indicate which goals would be enhanced by implementing the listed projects and if they are located in a prioritized area.

4. Evaluate the cost, time and impact related to each project by indicating a ✓ or ✕ in the template. 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 prioritized.

   a. What is the cost of the overall project implementation? Does this impact the municipality’s existing budget?

   b. Are there any partners or stakeholders willing to finance this specific project? Are there any regional or national bonuses provided for such projects?

   c. 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?

   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. What is the environmental footprint of the project? Would it reduce carbon emissions? Would it improve resilience of the city and the region?

   f. Overall, is this project a “low hanging fruit”, easy to reach and with great positive impact?

   g. Is this project also considered a national or regional priority?

Example:

<table>
<thead>
<tr>
<th>Catalytic or strategic projects</th>
<th>Linked Goals</th>
<th>Priority Area</th>
<th>Low Cost</th>
<th>Short Time</th>
<th>High Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Highway construction</td>
<td>1, 3, 5</td>
<td>✓</td>
<td>✓</td>
<td>✕</td>
<td>✓</td>
</tr>
<tr>
<td>Church</td>
<td>2</td>
<td>✕</td>
<td>✕</td>
<td>✕</td>
<td>✕</td>
</tr>
<tr>
<td>Slum upgrading of neighbourhood X</td>
<td>1, 2, 3</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
</tbody>
</table>
5. 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 to draw investment and action plans and select 1-3 financeable projects.
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 parks)

   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 theaters, 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.</td>
</tr>
<tr>
<td>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>
<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>
</tr>
</tbody>
</table>

Relation between forbidden, tolerated and conditional uses and urban density:
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>
## T23 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 environmental sensitive areas or in protected areas.</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 governa, 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.

- **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 (T20 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>
</table>

*Insert scaled map of the sub-zone*

### Developing Zone
*Strategic / Social / Environmental / Cultural - Transformation / Consolidation zone*

### Strategic Density
*High / medium / low*

### Spatial Strategy
*Expansion / regeneration / densification / conservation / none*

### Land-use

<table>
<thead>
<tr>
<th>Forbidden/ tolerated/ conditional use</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>BCR</th>
<th>%</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Basic FAR</th>
<th>%</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Property FAR</th>
<th>%</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Incentive FAR</th>
<th>%</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Maximum # stories</th>
<th>#</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Maximum height (m)</th>
<th>m</th>
</tr>
</thead>
</table>

### Thematic recommendations
*Basic services, housing, electricity, drainage, etc.*

### Cross-cutting recommendations
*Social inclusion, safety, resilience*

<table>
<thead>
<tr>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
</tr>
</tbody>
</table>
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 below as a reference:

### Land-Base Finance Mechanisms

<table>
<thead>
<tr>
<th>Mechanism</th>
<th>Description</th>
</tr>
</thead>
</table>
| **Progressive taxation**         | - To discourage tolerated uses or vacant land.  
                                  | - Applied to existing uses located in cultural, heritage or environmentally sensitive areas.                                             |
| **Transfer of Development rights** | - In case of expropriation.  
                                  | - Applied to localised restrictions (FAR, limited height, buffer zones) due to protected areas with heritage or environmental value, or hazard risks. |
| **Financial incentives**         | - To revitalize abandoned areas in priority development zones.  
                                  | - For quality maintenance of high density areas with strategic value such as historical centres.                                      |
                                  | - For participatory urban planning processes and People-first Public Private Partnerships.                                               |
                                  | - To promote affordable housing and mixed land-use in extension areas.                                                                     |
                                  | - To develop nature-based interventions and for the integration of resilient practices.                                                   |
| **Informality tolerance**        | Tolerance for informality in predefined areas of the city.                                                                               |
| **Compensation mechanisms**      | Assigned to evicted tenants.                                                                                                               |
| **Density Bonus**                | Freely grant extra development rights (reaching the Incentive FAR) to developers that implement good urban practices.                      |
| **Urban Development Fund**       | Created from the development rights trade. The Fund enables to generate Density Bonus for good urban practices and to maintain public infrastructure, increase quality and services of public spaces and implement further good urban practices. |

### Land-based finance mechanisms related to basic, property or incentive FAR and good urban practices:

- **Vacant Land**
  - Progressive taxation + expropriation through development rights

- **Basic FAR**
  - Progressive taxation

- **Property FAR**
  - Full title land (social function of land)

- **Maximum FAR with Density Bonus**
  - Incentives for mixed use, public space, active facade, permeability and social mix

- **Urban Development Fund**
  - DENSITY BONUS for good practices and incentive uses
T24 Detailed Data Gathering and Analysis

**Description** This tool guides the additional data gathering and analysis needed to develop the Detailed 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 analysis and diagnostic (Block D).** Most of the information needed for the Detailed Plan should have been compiled at the city level. Zoom in to the specific neighbourhood and areas where the catalytic projects will be developed. Review the information and make sure 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>Description</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>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>Public Open Spaces</td>
<td>Accessibility to public open spaces, amenities and furniture, comfort and safety, vegetation and green environment, intensity and types of use, diversity of users. For more information on how to collect data of public spaces, use the <a href="#">Public Space Site-Specific Assessment</a>.</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. Motorized 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 centers, health centers, public open spaces (recreational areas, sports facilities, parks, public squares), government buildings, etc.</td>
</tr>
</tbody>
</table>
Methods for Data Gathering

<table>
<thead>
<tr>
<th>Desk Research</th>
<th>Collect information from existing studies and/or government/institutions.</th>
</tr>
</thead>
<tbody>
<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>

Data Needed and Research Methods

<table>
<thead>
<tr>
<th>Layers of data that need to be collected</th>
<th>Research method</th>
</tr>
</thead>
<tbody>
<tr>
<td>........................................</td>
<td>........................................</td>
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</tbody>
</table>

3. Compile a series of detailed maps that consolidate the data and analysis at the neighbourhood scale.
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 (T6) 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.
   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) that are relevant to the neighbourhood and should be included in the Detailed 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 currents urban structure.

   Tip: Use different colors 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 visualize easier 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 on the neighbourhood map, using the following list as a guide:
Urban Elements for Neighbourhood Design

<table>
<thead>
<tr>
<th>Category</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 centers, 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>New roads, streets, bike lanes, pedestrian crossings, 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 colors to represent different types of urban elements.

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 synthesized by the technical team in order to include it in the neighbourhood plan design.
Urban Elements for Neighbourhood Design

- Basic services: Access to water, sewage, electricity, internet, etc.
- Public services: Healthcare, educational, childcare, cultural, sports facilities, etc.
- Urban equipment and community spaces: Markets, urban farms, community centers, banks, bars and restaurants, shops, etc.
- Open public spaces: Natural spaces, recreational spaces, parks, etc.
- Transportation and mobility: New roads, streets, bike lanes, pedestrian crossings, public transit stops and routes, parking spaces, etc.

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 colors to represent different types of urban elements.

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ANNEXES

PROJECT EXPERIENCES
REFERENCES
GET IN TOUCH
SOON IN...
Project experiences

Name: Urban Development Initiative (UrDI) Canaan Area of Port-of-Prince
Country: Haiti

Name: Project of urban management of intermediate cities in the department of Grande Anse and the South of Haiti
Country: Haiti

Name: Bissau 2030 Sustainable Spatial Development Plan
Country: Guinea-Bissau

Name: Urban Development Towards a Sustainable Garden City, Belmopan
Country: Belize

Name: Angola’s National Urban and Territorial Development Policy
Country: Angola

Name: Spatial Development Framework 2040 City of Johannesburg
Country: South Africa

Name: Kalobeyei integrated socio-economic development programme
Country: Kenya
Name: Hawassa City: spatial analysis and statistics  
Country: Ethiopia

Name: Hawassa City Strategic Plan  
Country: Ethiopia

Name: Future Saudi Cities Programme: City Profiles Series  
Country: Saudi Arabia

Name: Global Future Cities Programme: City Context Reports  
Countries: Brazil, Indonesia, Malaysia, Myanmar, Nigeria, Philippines, South Africa, Thailand, Turkey, Vietnam

Name: Bahir Dar Conceptual Plan  
Country: Ethiopia

Name: SNG 2030 | San Nicolás de los Garza City Vision  
Country: Mexico
# References

<table>
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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, and join trainings organised by our team at UN-Habitat. To do so, please join our community below. You are also welcome to reach out at ourcityplans@un.org.

To best understand the needs of Our City Plans users, we are asking for your feedback. Click on the link in the box on the right, complete a short survey and join our community of affiliated municipalities and experts.
Soon in...