

Our

City

Plans

**An Incremental and Participatory
Toolbox for Urban Planning**

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

Fourth edition



UN-HABITAT

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UN-HABITAT

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Foreword



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

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

The current pandemic crisis has put the world under an unprecedented economic, environmental, social, and political crisis. Local governments seek guidelines, as cities have become the epicentres of the covid-19 pandemic, with over 95% of total cases concentrated in urban areas. Existing issues such as the lack of access

to clean water and sanitation and to adequate housing and public spaces have been amplified, especially for the most vulnerable groups.

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

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

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

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

I hope that this publication will contribute to the vital work of city leaders, planners, and other urban planning stakeholders, serving as a consolidated guide to trigger collaboration and partnership for participatory urban planning, and promoting equal opportunities and a better urban future for all.

A handwritten signature in blue ink, appearing to read 'Maimunah'.

Maimunah Mohd Shariff
Executive Director, UN-Habitat

Introduction

Our City Plans is a global toolbox that guides and supports local governments and urban actors to better understand, customise, and develop inclusive and integrated urban planning processes, using a participatory and incremental methodology that adapts to their needs and local context.

By guiding users through an adaptable step-by-step methodology, actionable instructions, and simple and approachable language, Our City Plans democratises and articulates a comprehensive planning framework developed and utilised by UN-Habitat. It focuses in promoting civic engagement and participation in urban planning, but also incorporates cross-thematic areas such as climate action, socio-spatial inclusion and urban finances.

Organised in 4 phases -- Assessment, Plan, Operationalisation, and Implementation -- it includes 12 thematic Blocks and 58 activities that can serve different contexts, linking them to dynamic and innovative tools, templates and additional resources from UN-Habitat and external partners.

The comprehensive methodology allows city leaders, planners and other planning stakeholders to customise and adapt their own journey and process by selecting specific activities, based on their available resources and capacities, and also according to the particular scale, scope, challenges, objectives of the planning process: from the definition of a strategic development vision and its catalysing projects, a land management plan, as well as neighbourhood scale plans and projects.

Visit our digital platform to explore the most updated toolbox and access special features!
<https://ourcityplans.org/>

Collaborate with us!



Our City Plans digital platform aims to become a living product and a platform for knowledge exchange. Users are able to share their project experiences, tools, resources, local best practices, and connect with cities and teams. They can bookmark specific activities, map their progress and status with the project management features and add personalised notes to each activity. They actively contribute to improve Our City Plans, link their experiences and local expertise, and provide feedback to keep improving the methodology and toolbox.

Contact Us

Background and context

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

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

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

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

The first version of Our City Plans was launched at WUF10 in February 2020, formerly called PIUP – Participatory Incremental Urban Planning toolbox. A second version was published in 2021 and a third one in 2023. The digital platform was launched in WUF11 in 2022. The dissemination of the toolbox has created an Our City Plans global community that continues to grow globally.



▲
Participatory Mapping in Gorongosa, Mozambique, UN-Habitat

How can Our City Plans help you?



▲
Workshop in Ningo Prampram District, Ghana, UN-Habitat



▲
Participatory Mapping in Gorongosa, Mozambique, UN-Habitat



▲
Participatory Mapping in Bubaque, Guinea Bissau, UN-Habitat

City leaders

Lead and oversee the strategic steps of the urban planning process

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

City planners

Technical development of the urban planning process and planning documents

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

Other urban stakeholders

Provide accountability, disseminate and support inclusive urban planning processes

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

A customisable and adaptable urban planning process

The process

The Our City Plans guides users through the crucial steps needed to develop an inclusive and sustainable urban planning process. It is modularly structured into 4 phases – Assessment, Plan, Operationalisation and Implementation –, 12 blocks, and 58 activities.

Phase 1. Assessment

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

Phase 2. Plan

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

Phase 3. Operationalisation

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

Phase 4. Implementation

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

Customising urban planning processes

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

The customised planning process is supported by a filter feature integrated into the digital platform, in which users can choose a focus areas to help them select the activities from the toolbox.



Participation: Include diverse stakeholders, sectors, and perspectives to improve and make more inclusive the urban planning process and results.



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



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



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

Additionally, Activity 4 - Programming the Planning Process describes how to customise and adapt the methodology to the specific context as an exercise to align different stakeholders and identify the objectives, key output and activities to develop. Our City Plans toolbox provides guidelines to develop and implement urban plans with different levels of details, scales and scopes:

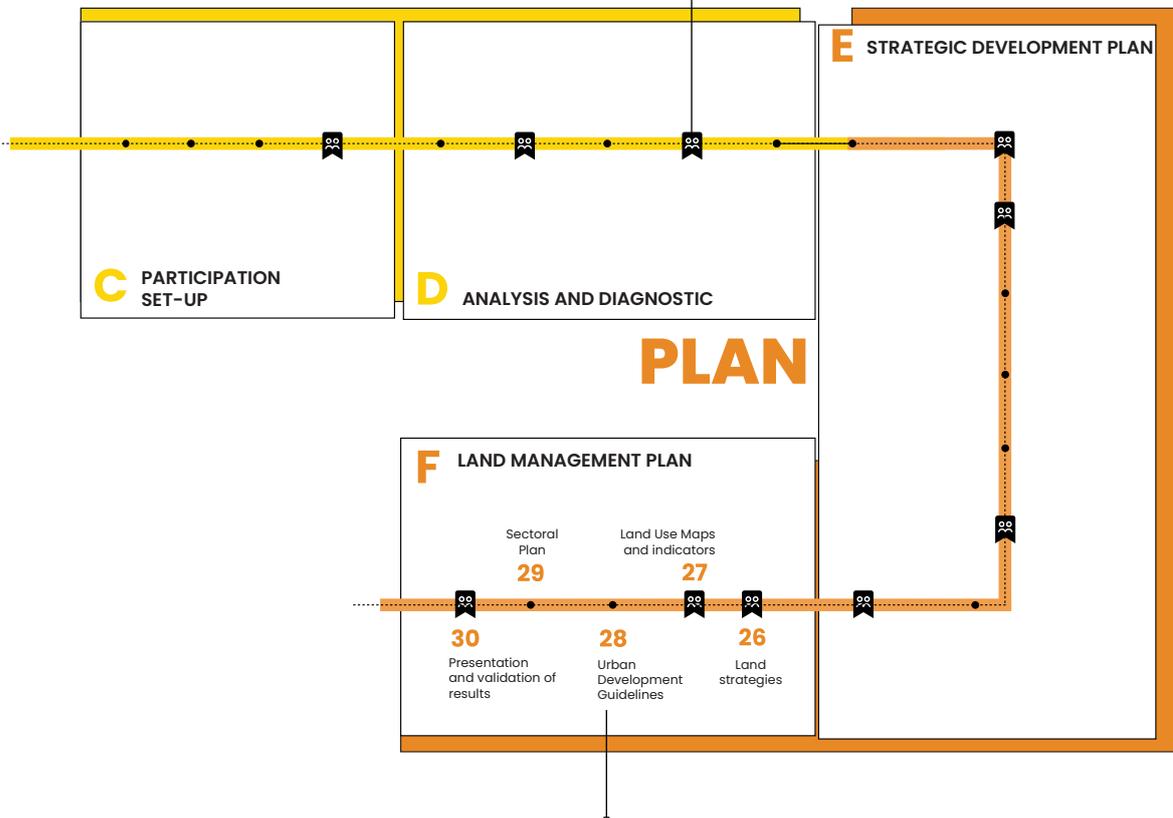
- **Strategic Development Plan:** Develop a city-wide plan by defining a participatory future vision, goals, and targets, spatial development strategies, and strategic projects.
- **Land Management Plan:** Develop a regulatory spatial document that translates the spatial strategies into a detailed land use and management plan. It is also called comprehensive development plan.
- **Sectoral Plan:** Thematic plans that focus on specific components of the overall city land development, such as mobility infrastructure, water and sewage management, natural resources protection, informal settlements regeneration, etc.
- **Neighbourhood Plan:** Develop a plan for a specific neighbourhood or area of the city.

User guide

Toolbox Composition

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

Blocks.
 Each block focuses on a specific topic of the planning process and has a clear outcome (participatory strategy, Terms of References, plans, etc.). Each block is divided into activities.



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

Thematic areas.

It indicates the thematic areas (Climate action, Participation, Socio-spatial inclusion and Urban finance) that are embedded in the activity

Time.

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

Activity number.

Each activity has a number. This numeration is continued throughout the blocks and 4 phases, to facilitate the use of Toolbox.

Objective and results.

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

Tools.

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

Description.

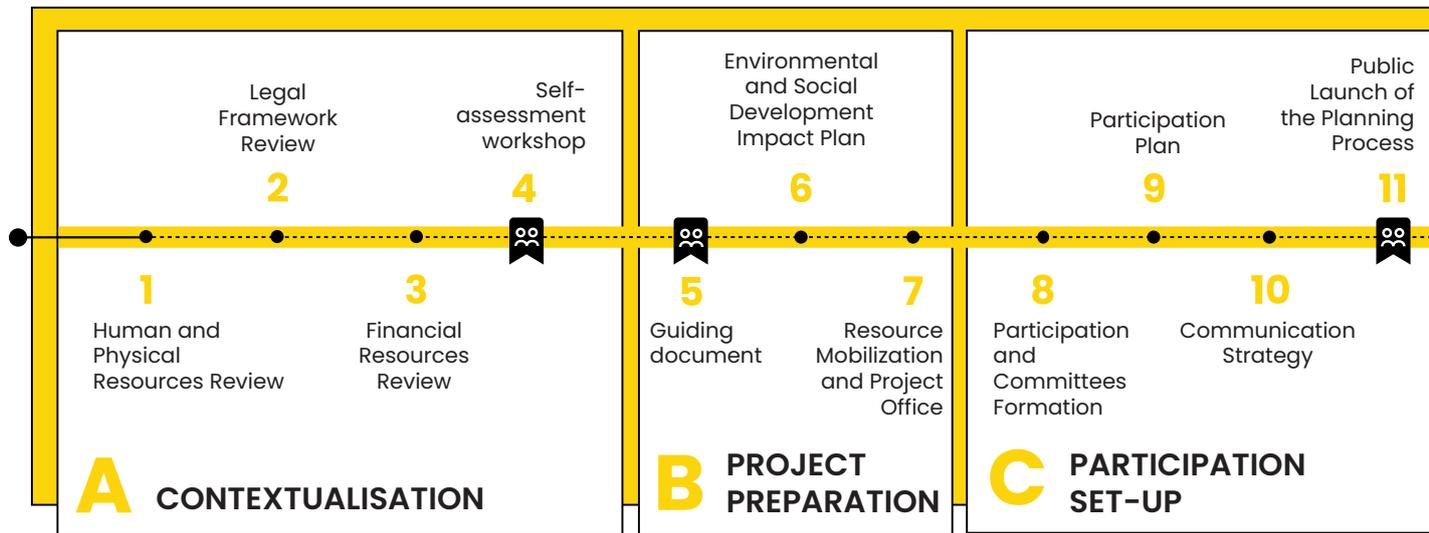
The description guides the users and provides key concepts.

Steps.

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

Additional resources.

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

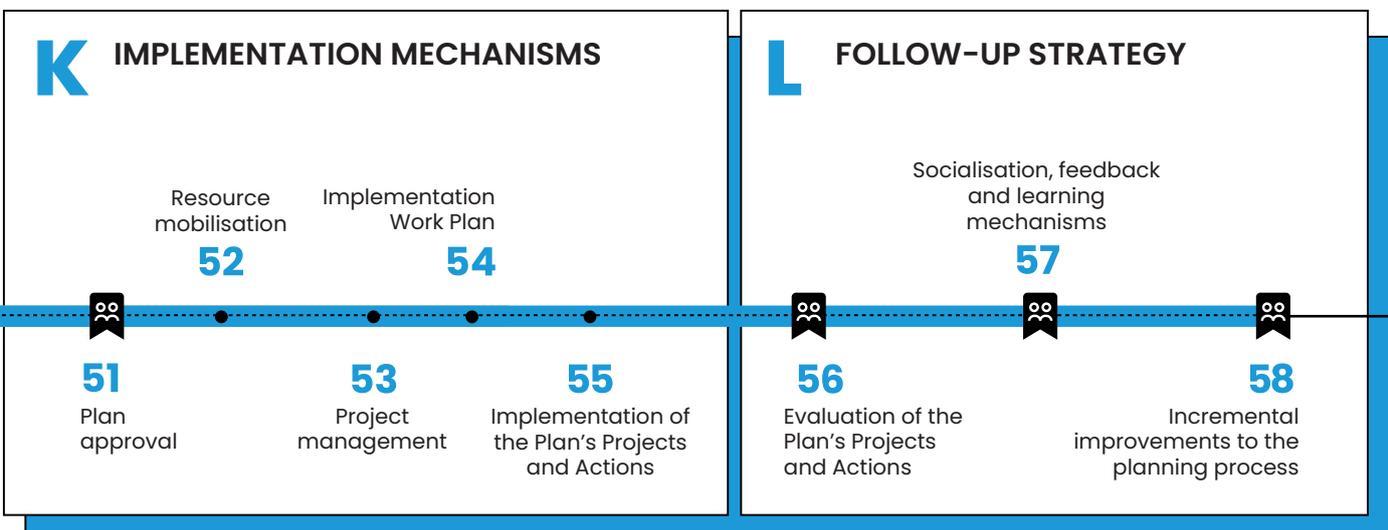


ASSESSMENT





IMPLEMENTATION



Before starting the planning process...

International agendas and guidelines

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



2030 Agenda and the Sustainable Development Goals

Link: <https://sustainabledevelopment.un.org/>

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 (SDGs), which are an urgent call for action by all countries – developed and developing – in a global partnership, are at the centre of this Agenda. They recognize that ending poverty and other deprivations must go hand-in-hand with strategies that improve health and education, reduce inequality, make cities and communities sustainable and spur economic growth – all while tackling climate change and working to preserve our oceans and forests.

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



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

Link: <https://sdgs.un.org/goals/goal11>

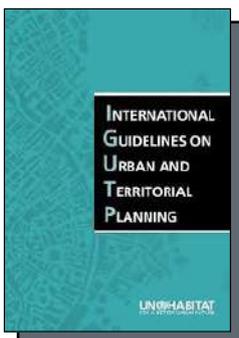
In order to achieve these goals, leaders and other actors must find sustainable solutions to major urban issues of social and economic development, housing, infrastructure and services, and environmental management. All the SDGs are crucial for urban development, and their targets and indicators (when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

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

Link: <https://unhabitat.org/international-guidelines-on-urban-and-territorial-planning>

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

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





New Urban Agenda

Link: <https://unhabitat.org/the-new-urban-agenda-illustrated>

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

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

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

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

Why are SDGs important for Local Governments?

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



UN-Habitat's Five Principles for Sustainable Neighbourhood Planning

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



Adequate space for streets and an efficient street network

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



Adequate density and compact city

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



Mixed land use

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



Social mix

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



Limited land-use specialisation

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



Workshop in Dame Marie, Haiti, UN-Habitat

ASSI

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ESSS

01

BLOCK A. CONTEXTUALISATION



BLOCK B. PROJECT PREPARATION



BLOCK C. PARTICIPATION SET-UP



BLOCK D. ANALYSIS & DIAGNOSIC



Where are we now?

This phase aims to understand and assess the context and the territory in which the plan will be developed, together with the current planning frameworks, in order to define the most suitable urban 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, the plan's objectives and constraints are defined. Then, a tailored participatory process is established to ensure the achievement of the objectives with a sustainable, resilient, inclusive, and impact-oriented approach, supported by a strong stakeholder engagement. Finally, an analysis and diagnostic will be elaborated to understand the territory, its opportunities and challenges, that will be integrated into the plan.

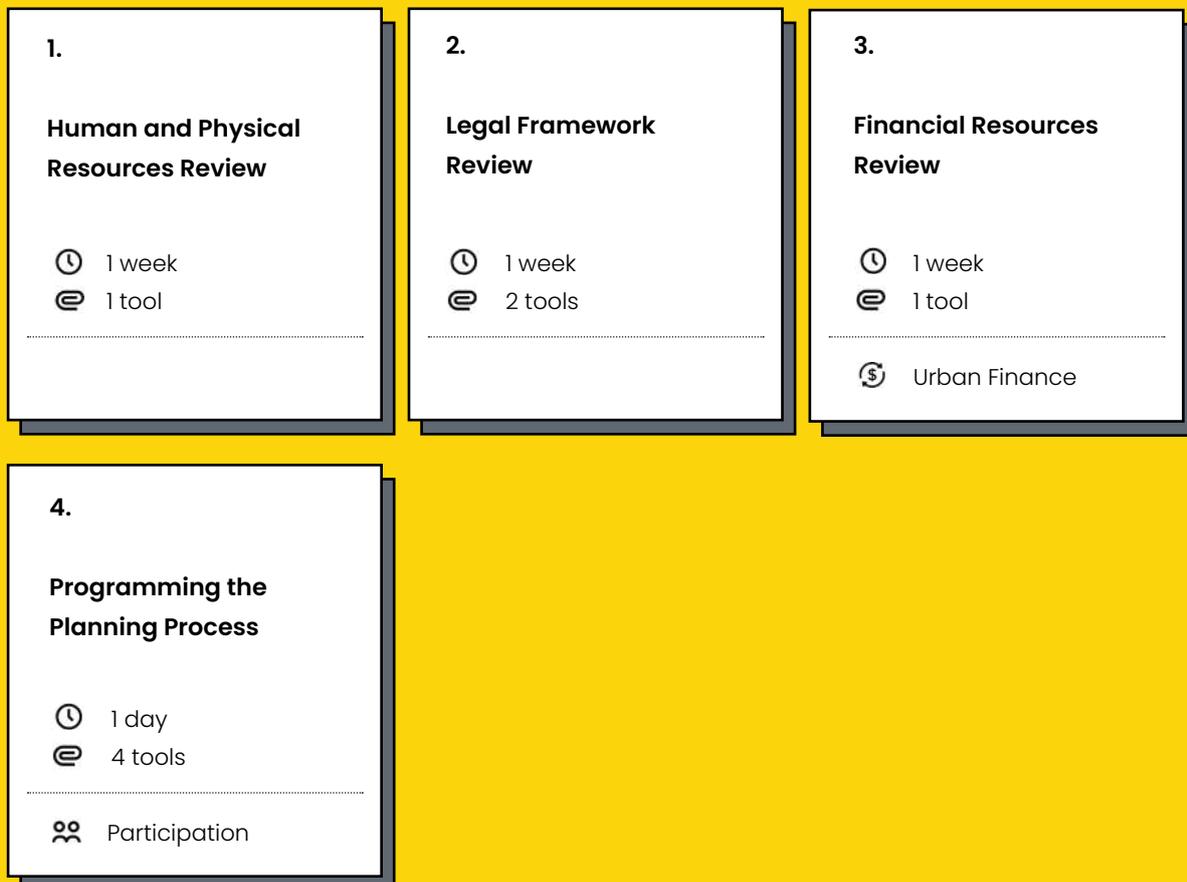
A

A Contextualisation



BLOCK

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



 **Objective**

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

 **Results**

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

 **Tools**

T1 [List of Minimum Required Expertise and Partners](#)

 **Description**

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

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

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

 **Steps**

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

02

ACTIVITY

Legal Framework Review

1 Week 

Objective

Understand the legal planning framework at the national, sub-national and local level, the legal requirements for the plan approval, and review existing planning documents.

Results

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

Tools

T2 [Urban Legislation Assessment](#)

T3 [Matrix of References](#)

Description

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

Steps

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

Additional resources:

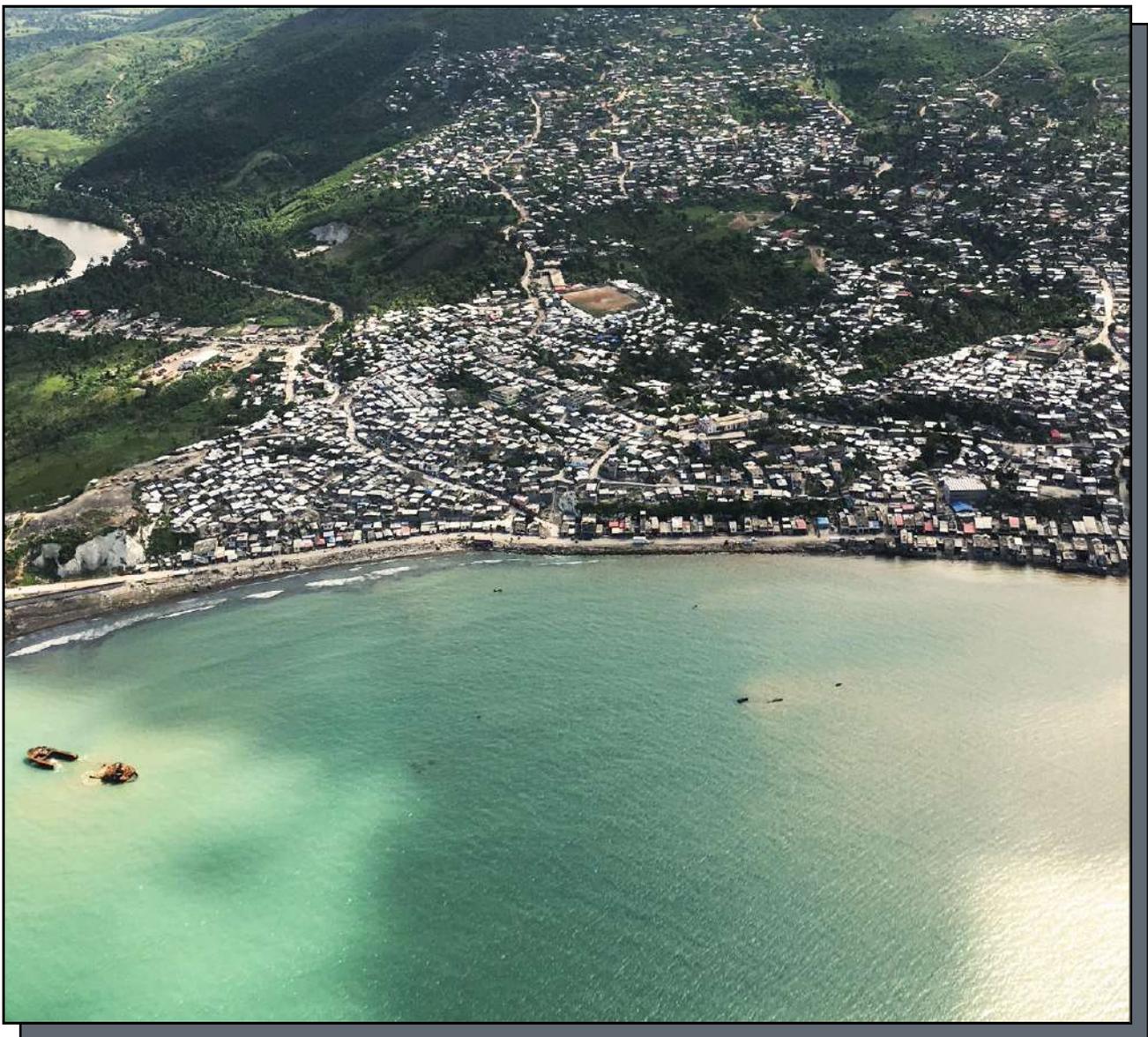
- [Planning Law Assessment Framework](#)
- [City-scale Plan Assessment Tool](#)
- [Economic Foundations for Sustainable Urbanisation: A Study on Three-Pronged Approach](#)
- [Social Tenure Domain Model](#)
- [City Prosperity Initiative](#)
- [Rapid Financial Assessment for Planned City Extension \(PCE\)](#)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

Climate Action

The legal framework is an important element to consider when seeking to advance efficient disaster risk reduction and climate action, specially to align national disaster risk management and climate policy and regulatory frameworks with strategical plans and agreements such as the Nationally Determined Contributions, the Sendai Framework for Disaster Risk Reduction and the Paris Agreement. For this, existing regional, national and local legal resources should be identified. Some may focus specifically on climate change (e.g. climate change acts), disaster risk reduction (e.g. National Risk Strategy) while others may have a broader scope but include disaster risk reduction and/or climate elements (eg. policies related to energy and water). This step will furtherly help to determine which actions at local level might best contribute to local and national resilience goals, particularly those that are incorporated into legal documents related to disaster risk response, climate mitigation and adaptation.

Additional resources:

- [Law and Climate Change Toolkit](#)



03

ACTIVITY

Financial Resources Review

1 week 

Objective

Assess the current financial situation, define the available budget to finance and fund the plan development and implementation, and identify any gaps and potential sources.

Results

- Financial assessment of the city

Tools

T4 [City's Financial Assessment Guide](#)

Description

During this activity, the preliminary technical team analyses the financial health of the city to understand how robust the budget is. They will fill the **T4 City's Financial Assessment Guide** (a tool inspired by the Municipal Financial Self-assessment Framework proposed by the World Bank) to review municipal finances. This detailed review will examine revenue streams, expenditures, cash balances, indebtedness, capital investments, and tax potential and performance. Once the financial landscape has been clearly mapped, a preliminary project budget will be drafted. Additionally, the team maps any gaps and challenges that could impact the project's implementation and plan long-term outcomes, and consider any financial sustainability mitigation measures.

Building on the insights gained from the City's Financial Assessment, this activity also lays the groundwork for future steps in the project development process. It serves as a critical juncture to determine whether there is a need to mobilise additional resources or employ innovative financial mechanisms to achieve project goals. To further aid in this determination, a catalogue of potential revenue-generating mechanisms can be found in **Block I Instruments**, as well as a Resource Mobilisation activity in **Block K Implementation Mechanisms**. These tools aim to provide a holistic financial strategy that addresses not only immediate project needs but also long-term sustainability.

Steps

1. Review the recommended literature.
2. Assess the availability of financial resources (**T4 City's Financial Assessment Guide**).
3. Map any potential gaps and challenges in financing and funding the planning process and plan and project implementation, as well as possible mitigation measures.
4. Research about the current administrative and institutional context in regards to land and property taxation and access to external sources of financing (loans, subsidies, etc.).
5. Follow-up with these steps and actions along the planning process.

References

- [Municipal Finances. A Handbook for Local Governments \(2014\)](#)
- [Municipal Financial Analysis Framework \(1984\)](#)
- [Guide to Municipal Finance \(2009\)](#)
- [Financing Metropolitan Governments in Developing Countries \(2013\)](#)
- [Financing Local Governments \(2008\)](#)
- [Public Finance in Theory and Practice \(1989\)](#)
- [Local Public Finance and Economics \(2019\)](#)

Objective

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

Results

- Definition of the toolbox activities and workplan that will be carried out to develop the plan, according to the local context, objectives, and available human, physical and financial resources.
- Preliminary project work plan

Tools

- T6** [Self-Assessment Template](#)
- T7** [Workshop Checklist](#)
- T8** [Work Plan Template](#)
- T0** [Our City Plans Roadmap](#)

Description

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

The Self-Assessment Guide includes a serie of guiding questions that helps the technical team to define the planning objectives, focus areas, and priorities of the plan and to support a further discussion to align all the stakeholders' ambitions for the urban planning process.

The session is divided into three main moments. Firstly, the group defines the context of the urban planning process, including the project's objective, key challenges and opportunity, urban area of interest, and crucial partners and stakeholders that should be involved along the process. Secondly, a questionnaire is included to guide the selection of activities to be developed according to the issues to be addressed, the components of the Assessment phase and the type of plan to be developed, the results and all the phases, blocks, and activities in the toolbox, and the cross-cutting thematic areas that need to be integrated. Finally, they evaluate and discuss the available resources, in terms of time, budget, internal capacities, territorial jurisdiction, and stakeholder engagement, and select the final activities and tools to prepare a preliminary work plan.

This activity can take place in two stages. First, the preliminary project team defines, based on the knowledge of the context and objectives, the roadmap for the planning process. Then, there is a validation moment with key stakeholders, such as the planning process sponsors, political leaders and municipal officials. It is important to include in this activity 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, as it is a moment of alignment between the different actors to agree on the objectives of the planning process and how to carry it out.

Throughout the planning process and the use of this toolbox, it is important to reflect on what works and what can be improved for the next time, as well as which activities and tools need to be modified and adapted according to the context and requirements. To this end, the last activity of Phase 4 Implementation: **Incremental improvements to the planning process (Activity 58)** includes a guide to reflect on and document improvements that can be applied to the process and methodology

Target stakeholders

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

Steps

1. Review and follow the workshop guidelines in the **T7 Workshop Checklist** tool.
2. Use the **T6 Self-Assessment Guide** tool and **T0 Our City Plans Roadmap** to have a discussion and agree on common objectives
3. Set out the schedule of activities for the planning process.
4. Develop a work plan including all the activities to be carried out and define a tentative timeline (**T8 Work Plan Template**).
5. Present the results to key stakeholders for feedback and/or validation. This can be done through a workshop (Prepare the workshop session using **T7 Workshop checklist**).

References

- [SDG Project Assessment Tool](#)
- [Urban Planning for City Leaders](#)

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.

| | |
|-------|--|
| 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 1: Context of the urban planning process and city plan' objectives |
| 09:45 | Open discussion |
| 10.00 | Coffee break |
| 10.15 | Plenary Session 2: Questionnaire |
| 11.00 | Open discussion |
| 11.15 | Plenary Session 3: Assessing table |
| 12.00 | Open discussion |
| 13:00 | Lunch break |
| 15:00 | Plenary Session 4: Work plan |
| 16:00 | Consolidate results and closing remarks |

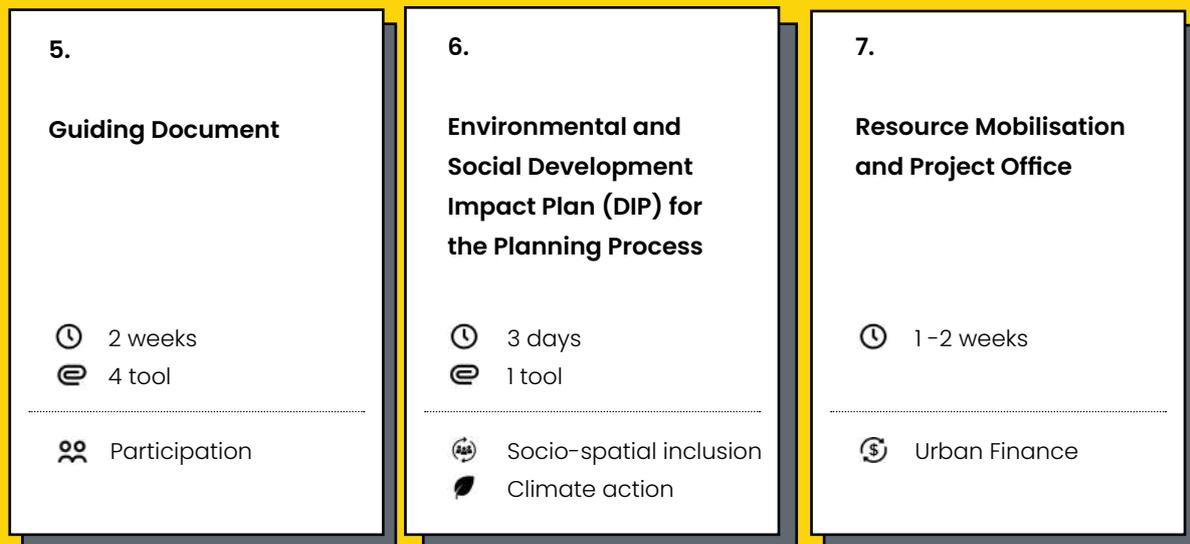
BB

B Project Preparation



BLOCK

The Project Preparation Block aims to define the objectives of the urban planning process and the responsibilities of each stakeholder. Specifically, the project team elaborates a guiding document that establishes the terms of collaboration with the different partners of the project and institutionalises the roles of the stakeholders involved. The Project Preparation Block consolidates the agreements and discussions of the previous activities. Finally, the guiding document indicates if further resources and personnel are needed to establish the project office and start the project.



05

ACTIVITY

Guiding Document

2 Weeks 
Participation 

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 / Project Document)

Tools

T9 [Guiding Document Template](#)

T5 [Project Budget Template](#)

T8 [Work Plan Template](#)

T10 [Environmental and Social Screening Report Template](#)

Description

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

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

Steps

1. Review the outputs of **Block A Contextualisation**, particularly the legal framework, the available budget and the preliminary work plan.
2. Organise a brainstorming and discussion session with the local government and, if needed, with key potential partners and stakeholders.
3. Draft a first version of the document and any required annexes (**T9 Guiding Document Template**).
4. Fill **T10 Environmental and Social Screening Report Template** for the planning process and annex to the Guiding Document.
5. Share it with the local government to gather their feedback and comments.
6. Revise the document and incorporate any changes.
7. Validate the final document and have it signed by all the parties.

References

- [SDG Project Assessment tool](#)
- [Urban Planning for City Leaders](#)

Environmental and Social Development Impact Plan for the Planning Process

Objective

Develop a simplified plan to monitor the environmental and social risks of the urban planning process and activities.

Results

- Environmental and Social Development Impact Plan (DIP) for the Planning Process

Tools

T11 Environmental and Social Development Impact Plan (DIP) Template

Description

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

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

Steps

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

References

- [UH-Habitat Environmental and Social Safeguard System \(ESSS\) 3.0](#)

Objective

Mobilise the financial, human, and physical resources needed for the planning process, considering what is established in the **Guiding Document (Activity 5)**.

Results

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

Description

This activity focuses on mobilising all the resources needed for the development of the planning process*. A list of missing resources is drafted based on the available resources assessment in **Financial Resources Review (Activity 3)** and the guiding document, and further action to mobilise them is initiated. This relates to any financial and human resources, as well as to physical resources, such as working spaces, information, materials, and equipment.

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

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

*The financial mechanisms and resource mobilisation of the initiatives and projects that result from the plan are included in **Phase 3 and Phase 4**.

Steps

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

References

- [The Challenge of Local Government Financing in Developing Countries](#)

Z/Conser Cultural
 - criação de Centro Cultural
 - Alerta a população sobre importância de sensibilização/conservação das zonas situadas

Z-A
 1- Promover campanha de sensibilização sobre importância de ecossistema terrestres.
 2- Realização de programa radiofónico para consciencializar a comunidade sobre a zona verde existente



Participatory Mapping in Bolama, Guinea Bissau, UN-Habitat

C

C Participation Set-up

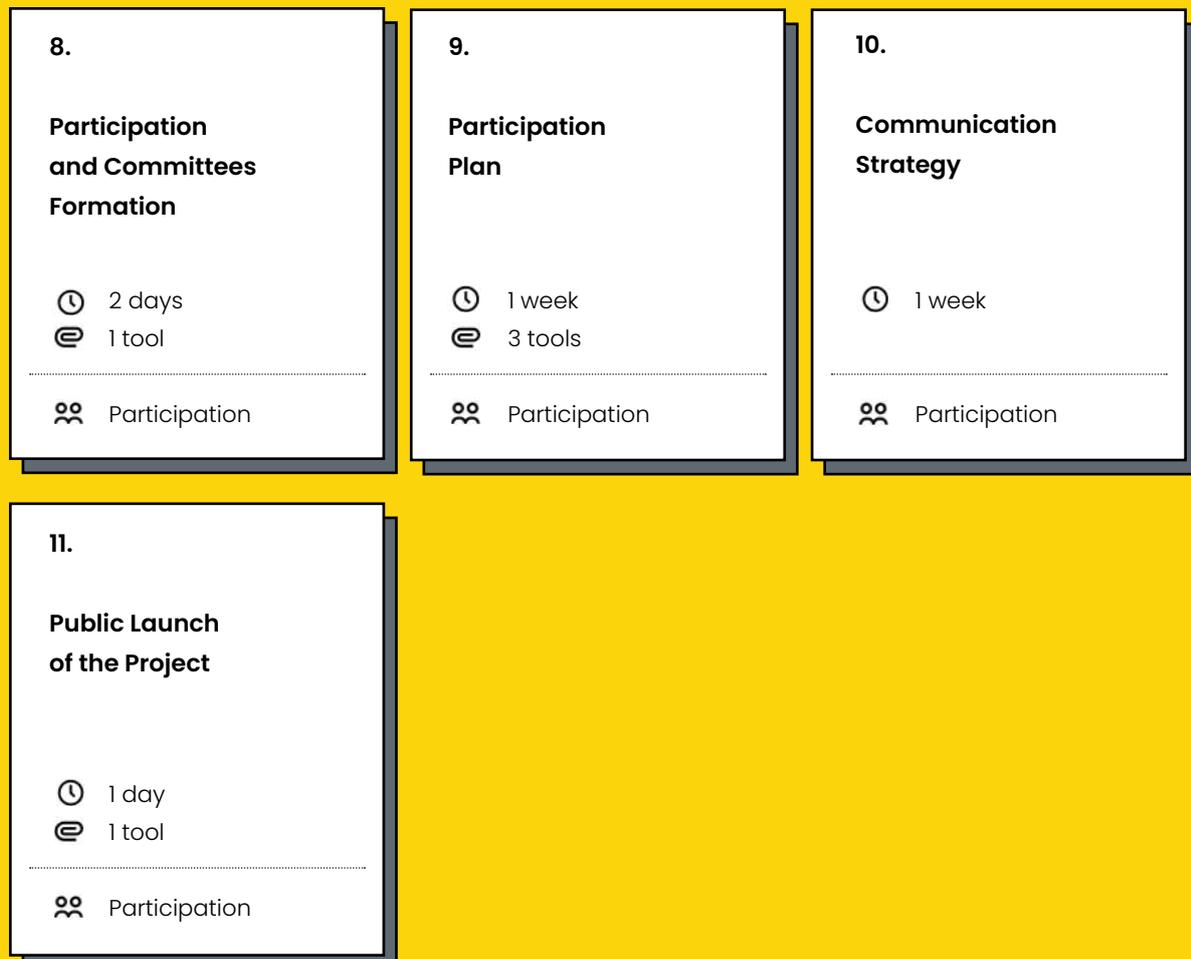


BLOCK

Setting-up an inclusive participation framework is the core of the Our City Plans Toolbox. This Block aims to define the stakeholders involved, the institutional mechanisms and committees, establish the participatory process and activities regarding technical consultations and community participation, and set a communication strategy for the urban planning process to be successful.

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

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



Objective

Identify key stakeholders and define a participatory strategy, including the different roles and engagement mechanisms.

Results

- Stakeholder list
- Engagement strategy
- Committees formation

Tools

T12 Stakeholders' Mapping.

Description

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

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

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

In addition to the committees, other stakeholder groups can be created as governance and accountability mechanisms. Paragraphs 41 and 92 of the New Urban Agenda (NUA) indicate the creation of platforms and mechanisms for a wide meaningful participation at all stages of the urban decision making processes. At the global level, World Urban Forum (WUF) is a non-legislative technical forum convened every second year by UN-Habitat since 2002 and has strengthened its linkage with the New Urban Agenda and 2030 Agenda. Adding on to their national focus and scope, the National Urban Forums can be formed to seek their connection to the World Urban Forum as a UN global platform linked to the NUA and other international agendas' implementation, facilitating and coordinating country activities related to sustainable urban development.

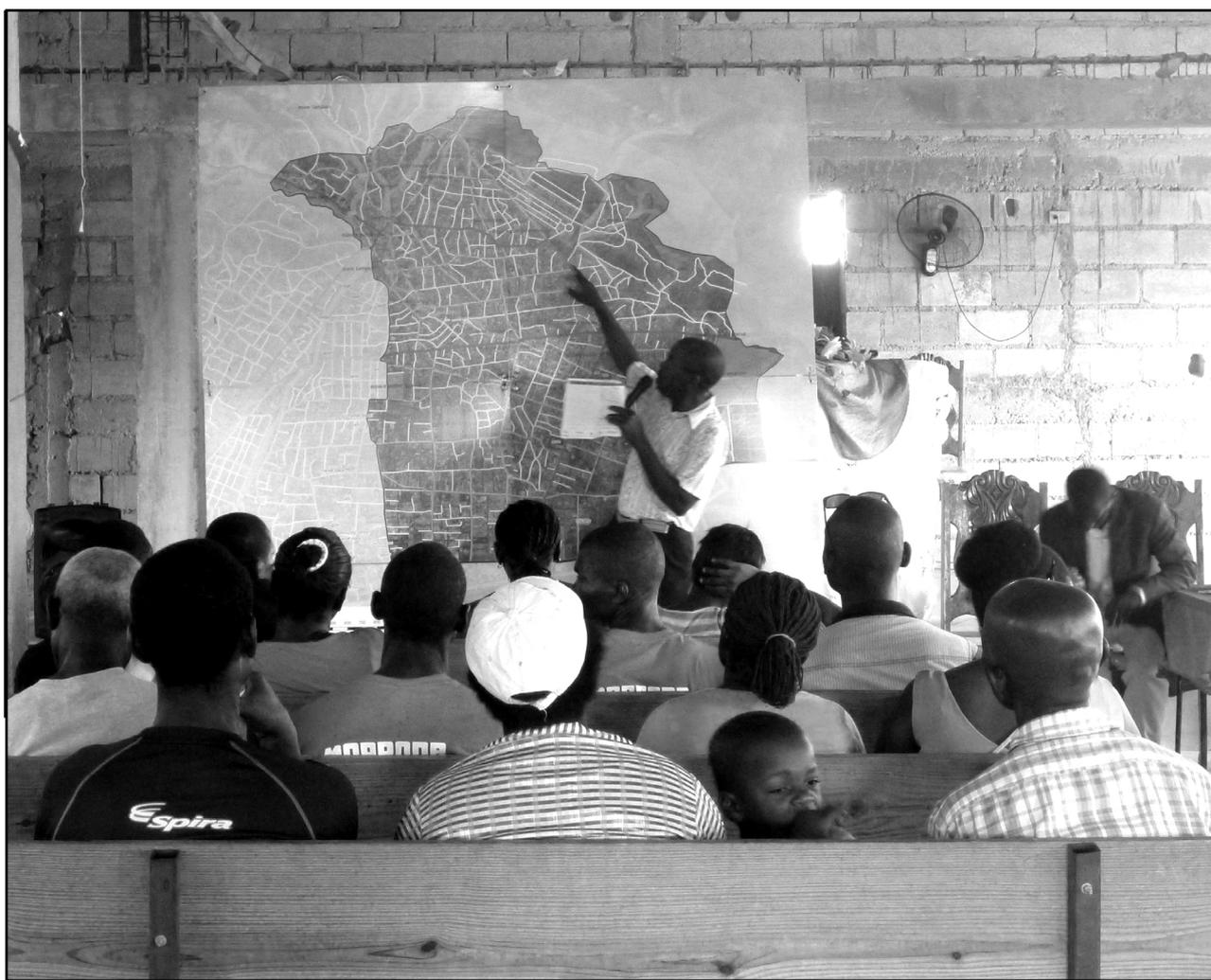
National Urban Forums can be organised around a specific central theme, identified as crucial to country's reality or fostering urban policies and plans formulation. Depending on the level of participation of each activity, specific technical consultations can be held through National or Local Urban Forums.

◆ Steps

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

✦ References

- [Her City Toolbox](#)
- [Governance Assessment Framework for Metropolitan territorial and regional management](#)
- [Consul Project](#)
- [National Urban Forum Guidelines](#)



▲ Stakeholder engagement in Canaan Haiti, UN-Habitat

 **Objective**

Develop a participation plan, including specific activities, participants involved, and outreach methods.

 **Results**

- Participation Plan

 **Tools**

T13 [Participation Plan Guide](#)

T41 [Citizen Engagement Guide](#)

T8 [Work Plan Template](#)

 **Description**

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

The Citizen Engagement Guide will serve as an input for the development of the Participation Plan since with it, the team should establish the scope of the participation plan based on the three components for an inclusive and efficient participation process: Socialisation, Consultation and Involvement. Each is described below.

Socialisation: It is considered as the starting point, since it is where the team's intention about the project is made known through different ways.

Consultation: This is where different stakeholders are invited to validate ideas and established plans.

Involvement: Where the different stakeholders are requested to play a more active role in decision making, whether in budgetary matters, project proposals or citizen plans. Depending on the context of the stakeholder, different groups that require specific strategies and methods to involve and get their inputs.

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

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

Consideration: It may be the case in some cities where the law requires a process of validation and consultation with neighbours. However, it is considered appropriate in those cities where it is not a requirement of the planning process, to make the effort to carry out the three components of the guide (socialise, consult and involve).

◆ Steps

1. Review the stakeholder's mapping exercise and the engagement strategies defined in **Participation** and **Committees Formation (Activity 8)** to define and prioritise the participatory moments and activities.
2. Using the **T13 Participation Plan Guide** and the **T41 Citizen Engagement Guide**, define the logistics and technical inputs necessary for each activity and consolidate this in the implementation section.
3. Align the activities with the overall work plan and adjust accordingly (**T8 Work Plan Template**).
4. Develop the outreach plan section.
5. Parallel to the previous two steps, analyse the risks present in the participation process and define mitigation strategies for both the implementation and outreach plans.
6. Execute the plan and revise it constantly considering the challenges and learnings obtained during the process.

✦ References

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



▲
Participatory Mapping, Neuquen, Argentina, UN-Habitat

Objective

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

Results

- Communication strategy

Description

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

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

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

Steps

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

Objective

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

Results

- Project launch

Tools

T7 [Workshop Checklist](#)

Description

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

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

Steps

1. Schedule the session and book a location adequate to host the entire community (**T7 Workshop Checklist**).
2. Communicate the event in advance and through different channels and media, established in the **Communication Strategy (Activity 10)**.
3. Prepare a brief presentation to introduce the project using clear and simple language.
4. Register the participants to create a mailing list for future communications.
5. Appoint a person to present the project and facilitate the session (involve the steering and advisory committee).
6. Facilitate the questions and interventions, stimulating dialogue.
7. Take notes of key points of discussion and capture pictures of the ongoing session, for reporting purposes.
8. Before closing the session, remind participants of the following appointments and share the official communication channels.

D

D Analysis and Diagnostic

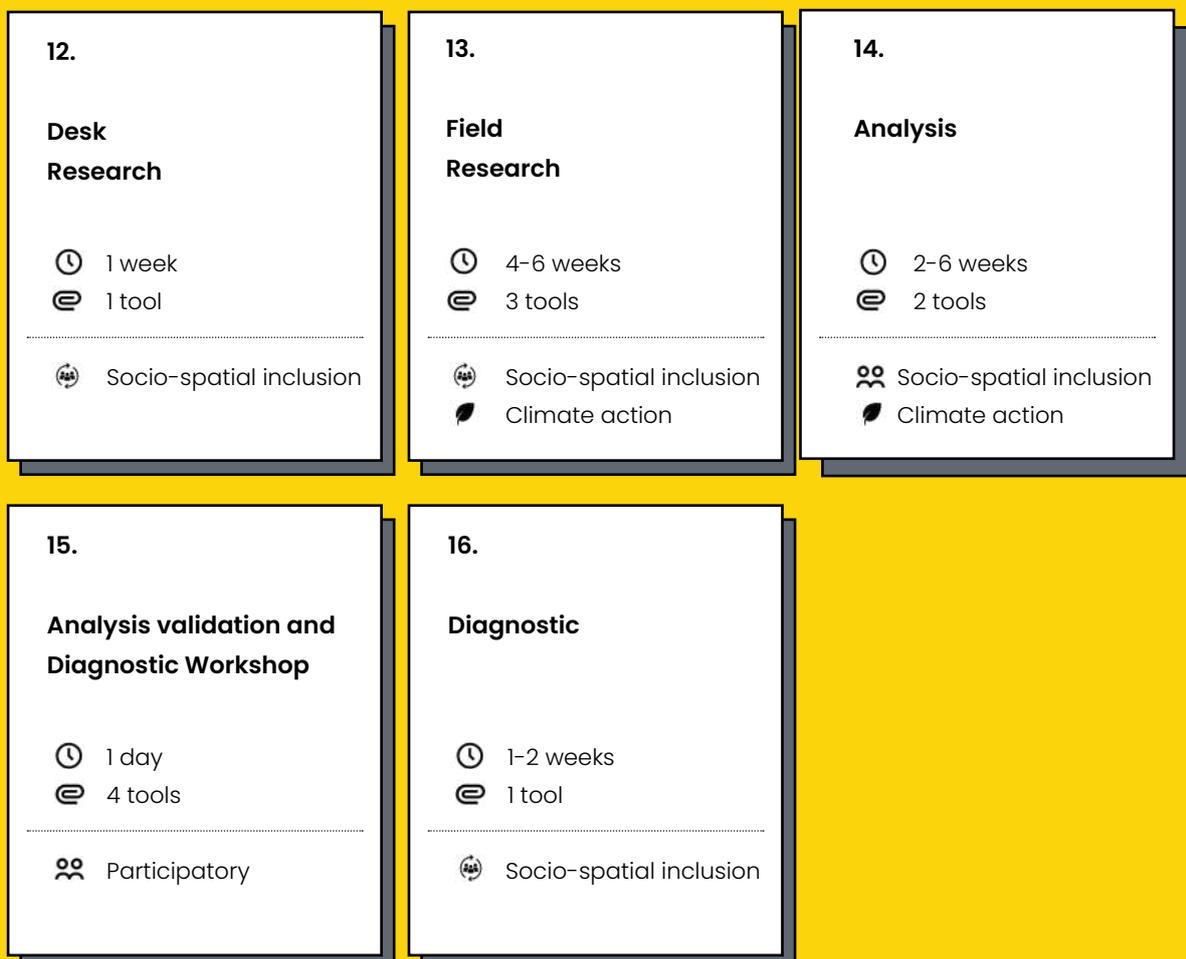
BLOCK



In the Analysis and Diagnosis Block, key evidence and information is collected to guide the stakeholders' decisions throughout the urban planning process. The diagnostic aims to understand the project's context, challenges, and opportunities. The urban and territorial diagnosis focuses on developing a 'spatial profile' at different geographic scales. This profile depicts a shared understanding of the territorial challenges and opportunities found in the defined planning area.

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

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



12 Desk Research

ACTIVITY

1 week
Socio-spatial inclusion

Objective

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

Results

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

Tools

T14 [Desk and Field Research - Maps and Data Checklist](#)

Description

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

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

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

Steps

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

References

- [GIS methodology \(Saudi\)](#)
- [GIS Handbook for municipalities](#)



Participatory Mapping in Bubaque, Guinea Bissau, UN-Habitat

13

Field Research

ACTIVITY

4-6 Weeks 

Participation 

Climate action 

Socio-spatial inclusion 

Objective

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

Results

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

Tools

T14 [Desk and Field Research - Maps and Data Checklist](#)

T15 [Matrix of Functions \(MoF\)](#)

T16 [Participatory Incremental Mapping \(PIM\)](#)

Description

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

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

Steps

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

References

- [GIS Methodology](#)
- [GIS Handbook for municipalities](#)

✦ References

- [KoBoToolbox Collect](#)
- [City-wide public space assessment guidelines](#)
- [Catalogue of Graphic References](#)
- [Rapid Planning studio](#)
- [Assessing the impact of Eviction Handbook](#)
- [Settlement Profiling Tool](#)

🍃 Climate Action

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

@ Tool

T17 [Climate Impact Chain Diagram](#)

✦ Additional resources:

- [Planning for Climate Change](#)
- [Climate Proofing Toolkit](#)
- [CityRAP Tool City Resilience Action Planning Tool](#)



14

ACTIVITY

Analysis

2-6 Weeks



Participation



Climate action



Socio-spatial inclusion



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

Tools

T14 [Desk and Field Research - Maps and Data Checklist](#)

T19 [Urban Expansion Projections](#)

Description

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

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

Steps

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

References

- [Catalogue of Graphic References](#)
- [GIS methodology \(Saudi\)](#)
- [Rapid Planning studio](#)
- [Rapid Planning Toolkit for Urban Expansion \(The Prince's Foundation\)](#)
- [Settlement Profiling Tool](#)

Climate Action

At this point, the collected data can also be used to analyse and map city-specific vulnerabilities, taking into account the exposure and sensitivity to environmental risks, as well as the adaptive capacity that can help avert potential impacts.

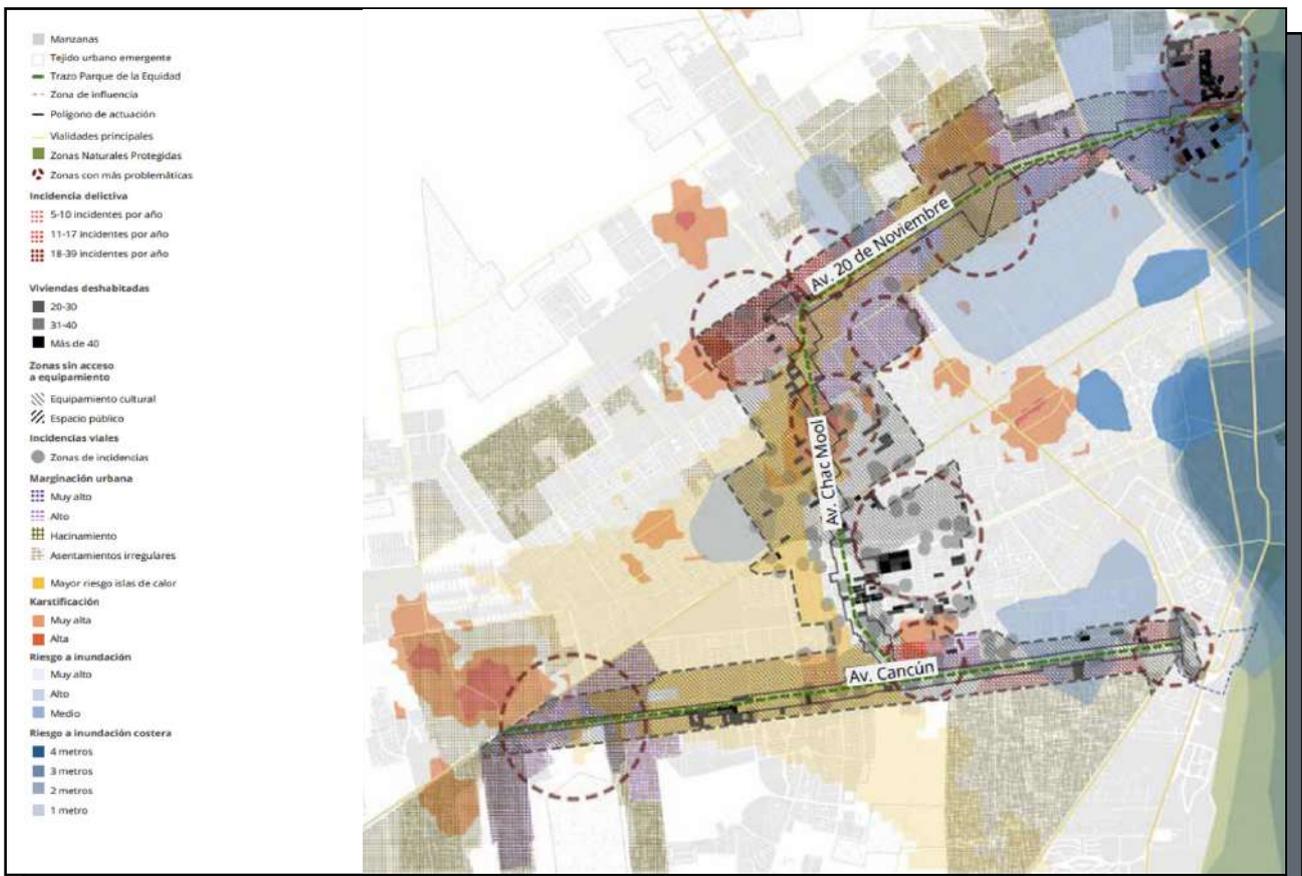
The exposure to climate hazards climate change should be considered using both existing and projected climate risks to identify the extent to which the expected population and different sectors will be affected. This can be done through a vulnerability analysis by initially responding to the following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

Tool

T20 [Climate Vulnerability Assessment](#)

Additional resources:

- [Planning for Climate Change](#)
- [Climate Change Vulnerability and Risk](#)
- [Disaster Resilience Scorecard for Cities](#)
- [Common Global Reporting Framework](#)



▲ **Map of opportunities and challenges, Parque de la Equidad, Cancun, Mexico, UN-Habitat**

 **Objective**

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

 **Results**

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

 **Tools**

T7 [Workshop Checklist](#)

T18 [Analysis and Diagnostic - Maps and Data Checklist](#)

T21 [S.W.O.T. Analysis](#)

T22 [Scenarios Building Narratives](#)

 **Description**

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

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

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

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

 **Target stakeholders**

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

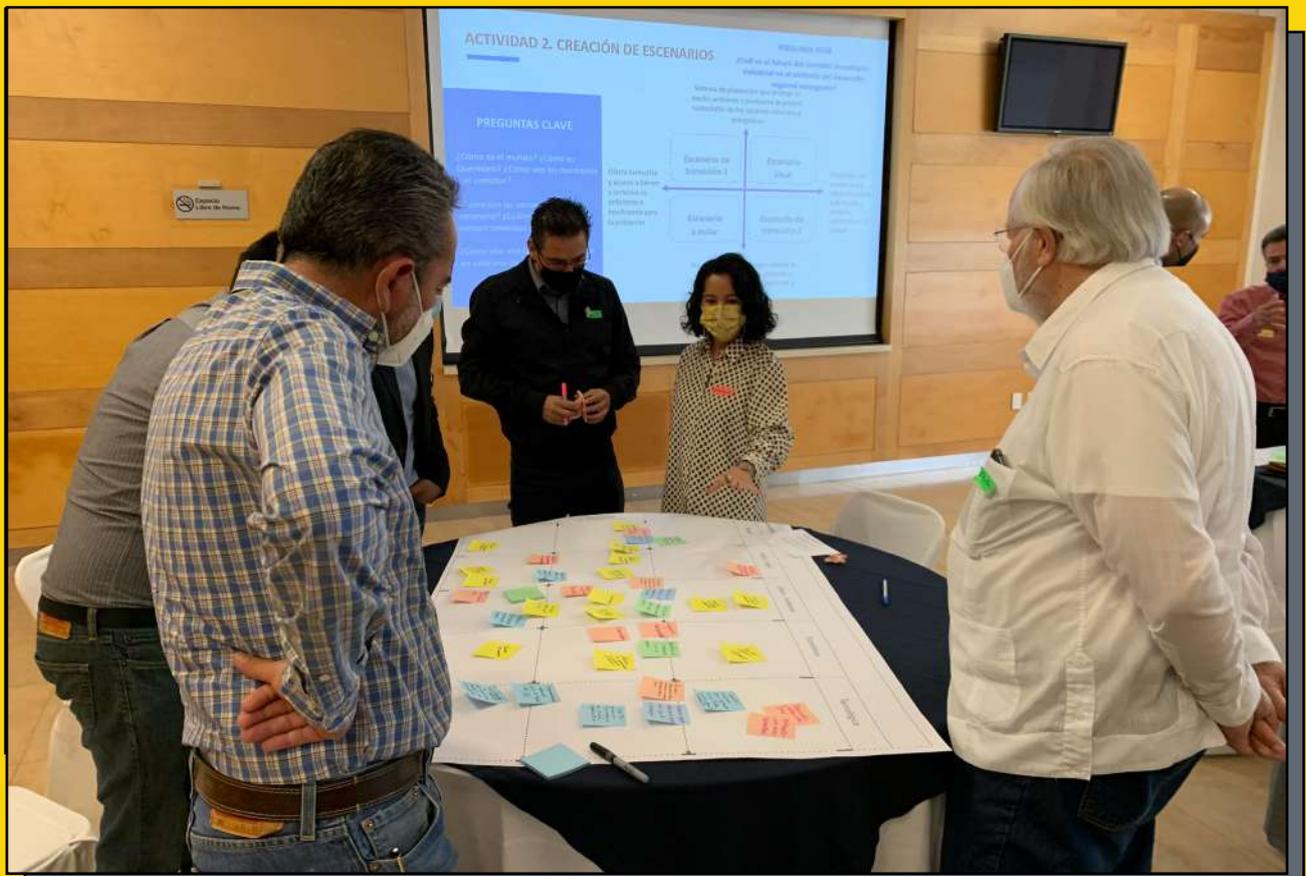
 **Steps**

1. Invite the advisory committee and any further relevant stakeholders for the session.
2. Prepare a presentation with the spatial analysis maps and findings, the results of the vulnerability assessment (if one has been conducted), and print the maps.
3. Prepare any required material for the session (**T7 Workshop Checklist**).
4. Follow the guidelines and instructions on the **T21 S.W.O.T. Analysis** tool to conduct the activity.
5. Create Strategic Development Scenarios following the instructions of the tool (**T22 Scenarios Building Narratives**).
6. Before closing the session, share the next steps of the process with the participants.
7. After the session, review the analysis report, the spatial analysis maps and the vulnerability assessment (if applicable), and make changes according to the comments gathered during the session.

Suggested agenda:

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

| | |
|-------|--|
| 08.00 | Registration |
| 08.30 | Opening by the Mayor or the project manager followed by the introduction of each participant |
| 09.00 | Plenary Session : presentation of the spatial analysis maps and findings. |
| 09:45 | 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 groups: strategic development scenarios |
| 15:00 | Plenary session: presentation of the strategic development scenarios |
| 16:00 | Closing remarks |



16 Diagnostic

ACTIVITY

2-6 Weeks 
Socio-spatial inclusion 

Objective

Identify the city's key constraints, opportunities and spatial structure.

Results

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

Tools

T23 [Constraints, Challenges and Opportunity, and Suitability Maps](#)

Description

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

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

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

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

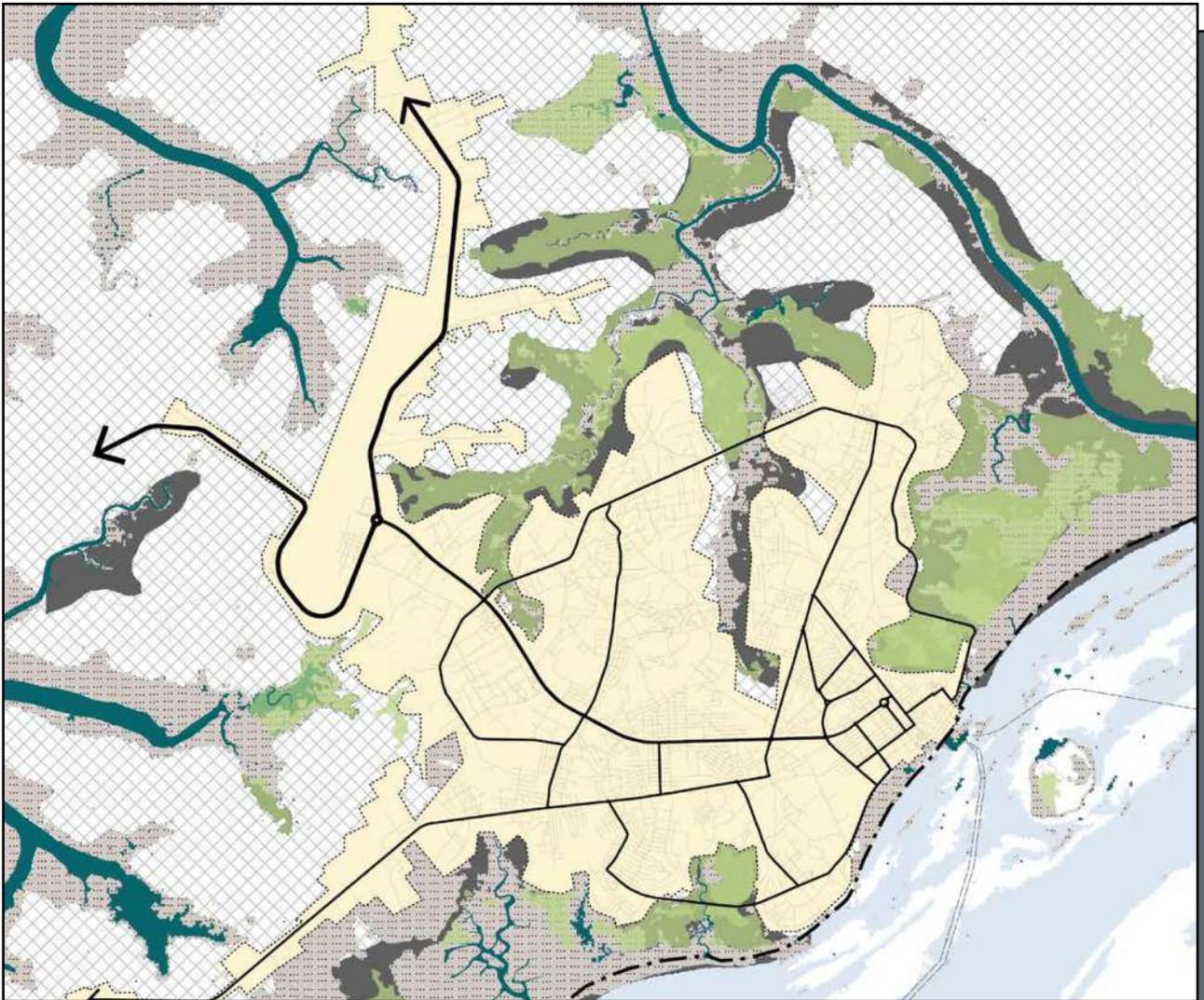
Once the constraints, suitability, and challenges/opportunity maps are completed, it is important to validate the results with the advisory and the steering committee. A validation meeting can be organised to discuss and review specific aspects of the maps. Finally, all the **Block D Analysis and Diagnosis**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

Steps

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

★ References

- City context reports of the Global Future Cities Programme
- City Profiles of the Future Saudi Cities Programme
- Amman Spatial Profile (Jordan)
- Irbid Spatial Profile (Jordan)
- Douala Spatial Profile (Cameroon)
- Damietta Spatial Profile (Egypt)
- Plan Maestro del Puente Nichupté (pg. 55)
- Plan Maestro del Parque de la Equidad (pg. 48)
- San Nicolas City Vision 2040
- Ciudad Juarez City Vision



▲
Suitability Map, Bissau 2030 - Sustainable Development Plan, UN-Habitat

For more information access: [Our City Plans, Planning Experience, Bissau 2030 Sustainable Development Plan](#)

PLA

PLAN

02

| | |
|---|---|
| BLOCK E. STRATEGIC DEVELOPMENT AND SPATIAL PLAN | ▼ |
| BLOCK F. LAND MANAGEMENT PLAN | ▼ |
| BLOCK G. NEIGHBOURHOOD PLAN | ▼ |

Where do we want to go?

Where do we want to go?

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

F

E Strategic Development Plan

BLOCK

The Strategic and Spatial 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, and determine strategic projects to bring the vision to reality. This Block 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 evaluate the process. The vision and goals are supported by a list of target indicators related to the global, national, and local agreements on sustainable and resilient urban development.

This Block also proposes a spatialized development structure and strategies to identify the future structure of the city, based on the city boundary, connectivity scheme, and the poles of attraction, and considering transformation and consolidation areas.

| | | |
|---|---|---|
| <p>17.</p> <p>Scenario Building</p> <p> 3-4 weeks  3 tools</p> <hr/> <p> Participation</p> | <p>18.</p> <p>Strategic Visioning Workshop</p> <p> 2 tools  2-5 days</p> <hr/> <p> Participation</p> | <p>19.</p> <p>Spatialisation of the Strategic Vision</p> <p> 2-4 days  1 tool</p> <hr/> <p> Participation</p> |
| <p>20.</p> <p>Urban Development Structure</p> <p> 2 weeks  1 tool</p> <hr/> <p> Socio-spatial inclusion</p> | <p>21.</p> <p>Development Zones</p> <p> 2 weeks  1 tool</p> <hr/> <p> Socio-spatial inclusion</p> | <p>22.</p> <p>Formulation of Strategies and Initiatives</p> <p> 2 weeks  1 tool</p> <hr/> <p> Socio-spatial inclusion</p> |
| <p>23.</p> <p>Strategic and Catalytic Projects Workshop</p> <p> 2 weeks  2 tools</p> <hr/> <p> Participation</p> | <p>24.</p> <p>Environmental and Social Impact Strategy for the City Plan</p> <p> 2 weeks  5 tools</p> <hr/> <p> Socio-spatial inclusion  Climate action</p> | <p>25.</p> <p>Presentation and Validation of results (Strategic Development and Spatial Plan)</p> <p> 1 day  2 tools</p> <hr/> <p> participation</p> |

17 Scenario Building

ACTIVITY

3-4 Weeks
Participation  

Objective

Visualise and project how the situation of the municipality may change in the future under certain scenarios.

Results

- Definition of the baseline, optimal and strategic scenarios.
- Projection of variables describing the city according to the identified scenarios, including population, urban expansion, equipment and required public space.

Tools

T19 [Urban Expansion Projections](#)

T22 [Scenario Building Narratives](#)

T43 [Facilities and Public Space Projections](#)

Description

This activity contains qualitative and quantitative tools that allow the description and calculation of future scenario (that might include desirable and undesirable situations) analyse their impacts on the territory and thus clarify and anticipate possible futures. Scenarios should be defined on the basis of a time horizon. They can also be calculated on the basis of short-, medium- and long-term projections.

Scenarios can include the baseline or "as usual", the optimal and the strategic. The first assumes that existing trajectories will not change in the future and conditions will be extrapolated from what is currently and has been happening in the past. It is important that this scenario is considered because it allows to visualise and identify what would happen if no action is taken in the urban development of the city, map any undesirable conditions, and to plan to avoid them. The optimal scenario is the one where all strategic variables are considered to reach the best possible status, but which will not necessarily be feasible or achievable. The strategic scenario is the desirable scenario and considers what is realistic under current conditions. This scenario should be aligned with the vision and objectives that will be set out in the next activity.

To build the scenarios, some assumptions need to be first established, defining what are the minimum conditions needed for each "as usual", optimal and strategic scenario to develop. To do this, review the narratives of each of the scenarios developed previously (**T25 Scenario Building Narratives**). Then, there needs to be a selection of variables that will be studied under each scenario. These can vary and depend on the scope of the planning process but need to be linked to sustainable development, such as population growth, urban expansion projections, requirements for public space and urban services, etc. After the variables are selected, they need to be calculated for each of the scenarios.

To calculate population growth and urban footprint, the team can use **T19 Urban Expansion Projection**. This uses population census data to first estimate projections in a defined timeframe. Then, the required urban land area to fit that population growth is calculated, according to different density scenarios that correspond to the scale and current development of the city. Density averages by type of single-family or multi-family housing should be considered, as well as ensuring that the growth rate of the urban footprint (area that the city expands) is aligned to the projected population growth.

Additionally, the **T43 Facilities and Public Space Projections** can be used to estimate the deficit and current coverage of each type of facility (healthcare, education, commercial, sports, cultural, etc.), as well as to determine the number of units of each type needed to cover, as the case may be, the current unmet demand and the future demand based on projections. The analysis should be carried out with special attention to the demand for facilities according to the scale of the city and its population. The tool also allows to calculate and compare the necessary public space surface and the current and future coverage, according to national ratios and international recommendations. It is important to clarify that this calculation is done on an aggregated basis for the whole city, and it is necessary to analyse the distribution of existing and future public facilities and spaces. In order to do so, the scenario building can be complemented with spatial analysis to evaluate which areas of the city lack accesibility to these facilities, defining buffers that correspond to walking distances (e.g. accesibility in 5, 10, 15 minutes), according to the scale of the city and the capacity of facilities. These analysis could be

taken from **Block D Analysis and Diagnosis**.

Finally, it is recommended to estimate the provision of public services such as water demand, electricity consumption, sanitation services, solid waste management, road network infrastructure, etc. in order to know the demand for each type of service, and to establish a basis for the strategies to propose the amount of primary infrastructure or public investments required.

◆ Steps

1. Define the timeframe for the scenarios.
2. Identify the assumptions for each of the scenarios: baseline / "as usual", optimistic, strategic. This can be done reviewing the different narratives and then identify key assumptions (**T25 Scenario Building Narratives**).
3. Define the variables that need to be considered and calculated for each of the scenarios.
4. Calculate the population and urban expansion projections (**T19 Urban Expansion Projections**).
5. Calculate the rest of the variables, including the requirement for urban facilities and public spaces (**T43 Facilities and Public Space Projections**) as well as accessibility and provision of public services.

✦ References

- [Vision, Scenario Building and Action Plan Report Al Hashmi Al Janoubi Neighbourhood](#)
- [Vision, Scenario Building and Action Plan Report Al Afrah Neighbourhood](#)
- [Vision, Scenario Building and Action Plan for the city of New Damietta](#)
- [Scenario projections for Master Plan Puente Nichupté, Cancun - Mexico \(pg. 287\)](#)
- [Tecnical note on estimates of infrastructure investment needs](#)



▲
Participatory workshop in Las Lajas, Argentina, UN-Habitat

Objective

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

Results

- Definition of the vision and goals of the Strategic Development Plan (the Strategic component of the Plan).

Tools

T7 [Workshop Checklist](#)

T24 [Strategic Visioning Workshop Guide](#)

Description

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

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

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

T3 Matrix of References

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

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

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

Target Stakeholders

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

Steps

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

References

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

Agenda:

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

| | |
|-------|--|
| 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 international and national urban planning framework (key takeaways from the Matrix of References), outputs of previous planning activities |
| 11:30 | Coffee break |
| 12:00 | Discussion group: Formulation of the vision |
| 13:30 | Lunch break |
| 14:30 | Discussion group: Definition of the goals and targets |
| 16:00 | Presentation of the final results of the session |
| 17:00 | Closing remarks |

Objective

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

Results

- Maps of Strategic Development and Spatial Plan and spatialised goals of the vision

Tools

T27 [Spatialisation of the Strategic Vision Workshop](#)

Description

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

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

Steps

1. Review all the information, data, and outputs from previous activities (Specially **Strategic Visioning Workshop (Activity 18)**,
2. including **Block D Analysis and Diagnosis**.
Divide participants into smaller groups, each one focusing on one of the goals established in the Strategic Vision (**T27**)
3. **Spatialisation of the Strategic Vision Workshop**).
4. Discuss and brainstorm a list of actions and projects for each goal.
5. Spatialise and map all the proposed interventions in the territory.
Review the results and consolidate the final maps per each goal.



Bubaque, Guinea Bissau, UN-Habitat

Objective

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

Results

- A map of the new development structure of the city, including the urban area, rural area, urban expansion and the new urban perimeter.
- A map of the areas of transformation, consolidation and conservation.

Tools

T28 [Sustainable Development Structure Guide](#)

Description

The urban development structure identifies the key features of the Strategic and Spatial Development Plan. This first consists in identifying the urban and rural area, the area for urban expansion, and the urban perimeter. Second, based on the defined structure, transformation, consolidation and conservation areas are identified, which define the how the city areas should change in order to guide the future development of the city.

The technical team should start reviewing the outputs from previous activities. The current structure of the city was developed in **Field Research (Activity 13)** with the **T16 Participatory Incremental Mapping** tool and the **Analysis (Activity 14)** and concludes in the **Diagnosis (Activity 16)**. This includes the areas where the urban area of the city has consolidated and/or expanded, the connectivity scheme, the main nodes and landmarks, etc. This information plus the results regarding the challenges, urban expansion projections and city vision should be the base for the formulation of the urban development structure for the future city.

The first step is to define the new urban perimeter. The urban management boundary – also called urban edge, urban perimeter or planning boundary – sets the limits for the future growth of the city to guarantee sustainable development. The boundary is a regulatory tool that legally establishes the planning limits, controls urban sprawl, and classifies the land into three types: urban area, urban expansion, and rural area. The names and categories of the areas can vary according to the local planning and regulatory framework or context.

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

Once the new urban perimeter is established, the second step is to define strategic areas of the city (**T28 Urban Development Structure Guide**):

- Consolidation: in 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. Some sectors from the consolidation areas have the potential to be densified.
- Transformation: in 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 can be both in urban areas or in expansion areas.
- Conservation: in areas with cultural or environmental value that needs to be protected from interventions and urban sprawl.

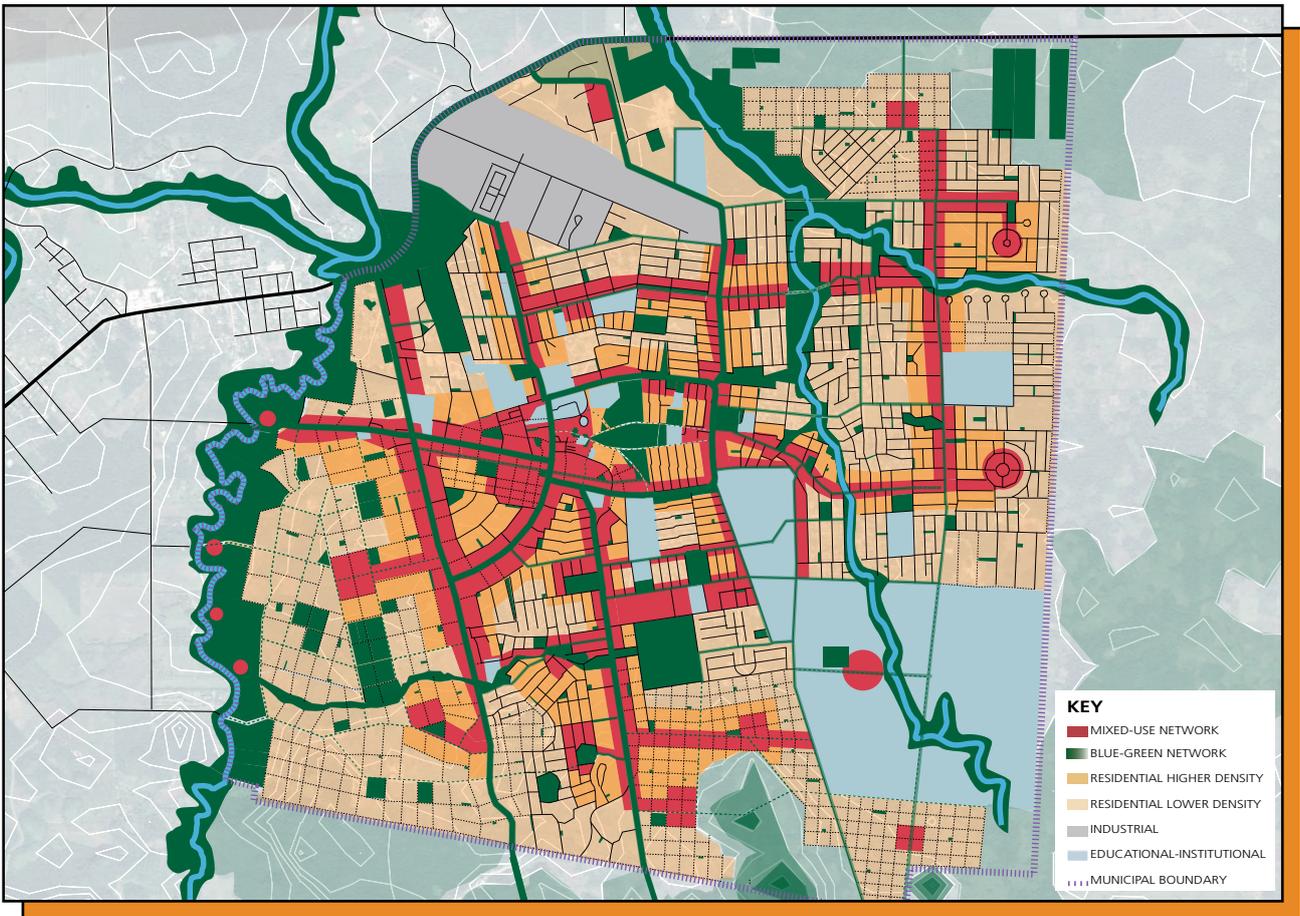
This activity is carried out by the technical team but can also be developed as a workshop in collaboration with the advisory committee. Otherwise, the results must be revised and validated by them.

Steps

1. Review the structure of the city developed during the **T16 Participatory Incremental Mapping** tool and the key findings from **Diagnosis (Activity 16)**.
2. Review the population growth rate, the urban expansion projections, and the trends of growth defined during the analysis (**T19 Urban Expansion Projections**).
3. Draw the new urban perimeter and classify the land into urban area, urban expansion or rural area, or other categories relevant for the city and context (**T28 Urban Development Structure Guide**).
4. Review the Vision and its spatialisation (**Activity 17 and Activity 19**).
5. Define the areas of transformation, consolidation and conservation.
6. Consolidate a map that integrate the new sustainable development structure of the city and the strategic areas. This can also be presented in two different maps. The strategic areas will serve as part of the strategic spatial and/or land management plan.
7. Validate the results with the advisory and steering committee.

References

- [Planned City Extensions: Analysis of Historical Examples](#)
- [Urban Planning for City Leaders](#)



**Objective**

Identify development zones according to the vocational function of diverse sectors of the city.

Results

- A map of the development/functional zones.
- Definition of strategic densities for different sectors of the city.

Tools

T29 [Spatial Strategies Guide](#)

Description

Building on the urban development structure, this activity focuses as a first step on identifying key development zones for the city. This is a first approach to a land-use proposal but starts by mapping what is the vocational function of each larger sector of the city. Development zones can also be called functional zones, and the categorization will depend on the context of the city. These can include: (1) Economic-productive zone, (2) Urban / social zone, (3) Cultural zone, (4) Environmental zone.

The zones should be distributed within the territory considering the existing assets and dynamics of the city, as well as potentialities that will guide future sustainable development. Some key questions might include: Are there new areas for residential and mixed-uses? Any new potential economic and commercial centers? Any areas for green and blue infrastructure recreational use? Any areas that need consolidation as rural and productive zones? The identification of zones should take into account the areas for transformation, consolidation and conservation, which define how the territory should be reshaped or developed. On top of those, the development zones indicate the what type of use should be assigned.

As a second step, strategic densities should be determined for the different sectors of the city (high, medium, low, according to the local context). UN-Habitat promotes an average of 15,000 inhab/km² / 150 p/ha for sustainable urbanisation and a compact city. The definition of high, medium and low-density changes drastically depending on the context. While too low densities do not promote sustainable urbanisation, too high densities disrupt the existing urban landscape and bring a critical demand for infrastructure and basic services.

The technical team assigns different density levels to sub-zones or neighbourhoods of the city, according to the population growth scenarios, the cultural context, the trends and vulnerability to climate change, the availability of land, the specific nature of the land, the land market value, and the technical capacities and requirements. Particularly, density distributions follow the urban structure of the city, the hierarchy of roads and the main urban form. 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.

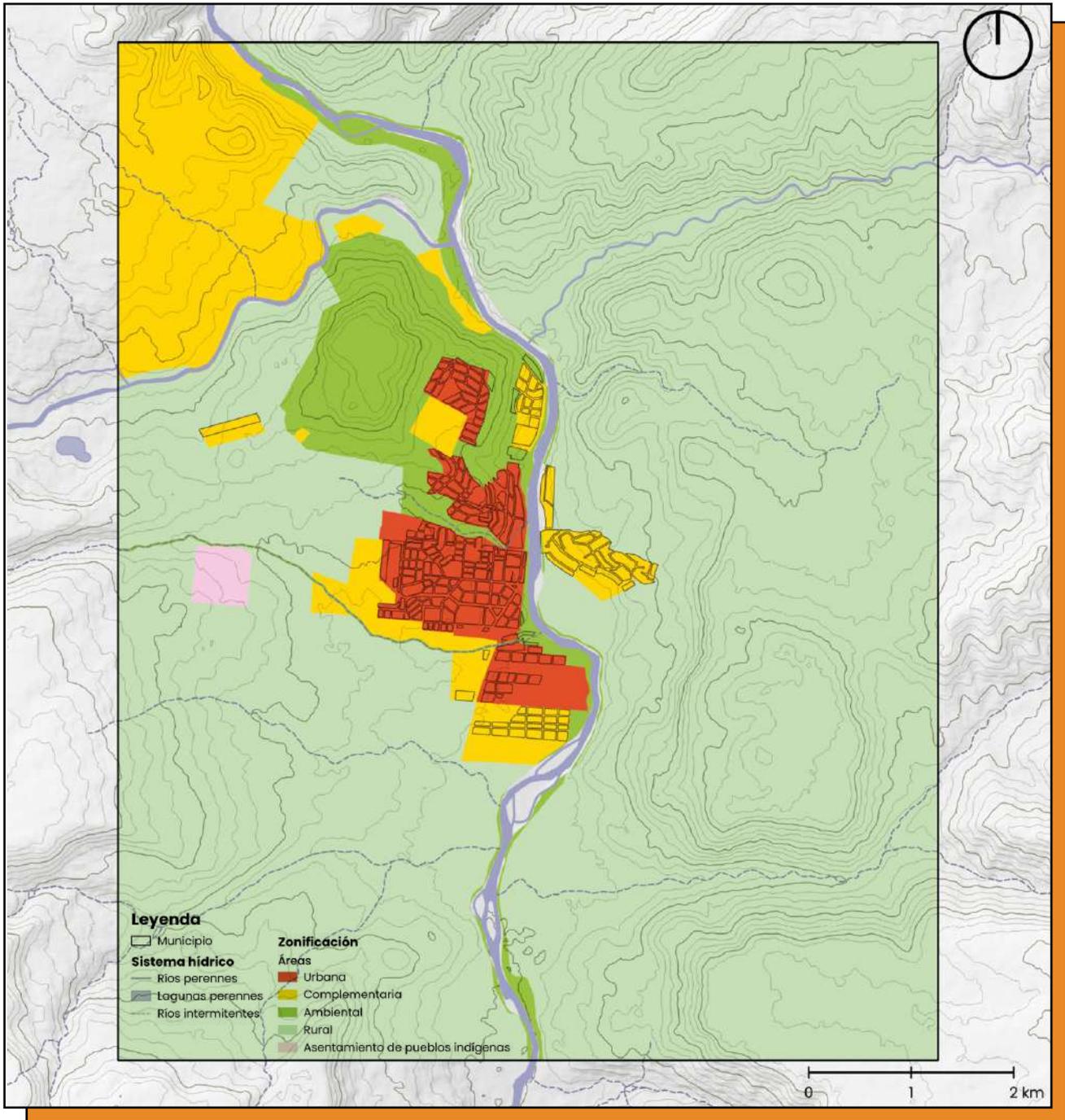
This activity is carried out by the technical team but can also be developed as a workshop in collaboration with the advisory committee. Otherwise, the results must be revised and validated by them.

Steps

1. Review the structure of the city and the strategic areas identified in the previous activity.
2. Identify the vocational function of different sectors of the city according to the current and potential uses and dynamics to define the development/functional zones.
3. Conduct a validation meeting with the advisory committee.

References

- Guidelines for Urban Planning in Myanmar
- Bubaque Basic Spatial Plan
- Bolama Basic Spatial Plan



Objective

Identify and propose a set of strategies and initiatives oriented towards the fulfilment of the Strategic Development Plan.

Results

- Strategies and initiatives aligned with the goals of the Strategic Vision.

Tools

[T42 Strategy Formulation Guide](#)

Description

Based on the goals defined in the vision, the urban development strategy and the definition of development zones, more concrete strategies are proposed, as well as specific initiatives to achieve them. This activity is based on and builds on the inputs obtained previously, including the participatory inputs received during previous activities and workshops, such as proposed ideas and actions in relation to the future city vision, goals, strategies and initiatives to achieve them.

The established vision goals and its spatialization can be reviewed and adjusted according to the results of the other activities, aligning them to relevant themes of the diagnosis or to complementary and existing plans (for example, the national country vision and regional plan). Then, strategies are established for each of the goals. Strategies are statements that are part of a roadmap that will contribute to achieve the defined goals. These provide more details on how to develop each specific goal. The strategies must be comprehensive and respond to the challenges and needs identified before, as well as be congruent with the municipality's capacity for action.

Next, each strategy should propose a series of initiatives (specific actions, projects, programs) that ground it in a more limited scope and purpose, in an identified time bound. In Phase 3 Operationalisation, specific targets are defined to evaluate each initiative over time, as part of the plan's evaluation and monitoring framework (Block J Monitoring and Evaluation).

The strategies and initiatives complements the framework of the vision and goals. More detail can be added within each initiative according to the needs and capacities of the team. For example, for each initiative a series of further detailed actions could be added to ground the initiative even more. Strategies and initiatives result from the participatory activities developed previously, as well as from the technical input from the team based on the main findings from the analysis and diagnosis.

The framework of strategies and initiatives can also be represented in maps to identify and spatialise them more concretely.

Steps

1. Review the results and inputs gathered from the **Strategic Visioning Workshop (Activity 18)** and **Spatialisation of the Strategic Vision (Activity 19)**.
2. Review the final goals to be incorporated into the plan.
3. Review list of international and national urban planning frameworks (**T3 Matrix of References** in **Legal Framework Review (Activity 2)**).
4. Develop strategies according to each goal or thematic area established. Strategies must be linked to the established goals and to ongoing or planned projects and programmes at the country, regional or local scale (Use **T42 Strategy Formulation Guide**).
5. Propose initiatives to implement the strategies proposed. These may focus on certain sub-themes.
6. Consolidate the framework of strategies in a document.

References

- Ciudad Juarez City Vision
- Plan Maestro del Puente Nichupté (p. 325)
- Plan Maestro del Parque de la Equidad (p. 311)

Climate Action

Cities can focus on developing a strategy that defines specific initiatives for disaster risk reduction and climate resilience. These initiatives can integrate a goal and a number of well-defined actions to strengthen sectorial urban resilience.

The resilience strategy can be prepared starting from the identification of specific risk response options based on the results of the **T20 Vulnerability Assessment** previously prepared in the diagnostic activity. The tool **T61 Risk Response Options** can facilitate the process to dispose of a preliminary checklist of possible risk response options.

As a second step, using the tool T62 Resilience Initiatives for the City, the city's stakeholders can categorize the options into specific urban sectors that need to be addressed with disaster risk reduction and climate change initiatives. This process allows to assess the level of integration between disaster risk response and climate action elements within the urban planning framework, the overall institutional arrangements, the cities' financing system and the implementation of physical interventions. The evaluation of each sector in addition to the risk response options will help to define the final actions to implement.

Tools

H61 Risk Response Options

H62 Resilience Initiatives for the City

Additional resources:

- Municipal Climate Action Strategy for San Nicolas de los Garza
- Planning for Climate Change
- Climate Proofing Toolkit
- CityRAP Tool City Resilience Action Planning Tool



Objective 1: Sustainable and resilient city

This objective addresses the environmental issues from an integrated approach that aims to articulate the urban and rural spheres. The objective brings together actions focused on facilitating the sustainable management of natural resources in the municipality in order to protect and optimise the ecosystem, reduce risks related to climate change and consolidate the environmental resilience of Ciudad Juarez.

| Themes | Municipal Strategy Alignment | SDG alignment |
|---|--|---------------|
| Environment, climate change, public space, storm drainage, agricultural production. | AXIS 3: Economics for Well-being AXIS 4: Spatial and Urban Planning | |

Table 1. Description of Objective 1: Sustainable and resilient city.

Target 1.1: By 2040, Juarez will be environmentally sustainable

SDG Alignment:

| Line of action | Dead-line | Responsible Actor | Collaborating Actors |
|--|-----------|--|--|
| 1.1.1 Strengthen municipal environmental agencies to promote the creation, updating, monitoring and enforcement of environmental strategies, standards, regulations, and laws. | Medium | Council Secretariat, City Council of Ciudad Juarez | Municipal Government |
| 1.1.2 Consolidate tree planting and landscape architecture development projects. Through a programme that encourages the appropriate cultivation of endemic species and promotes the development of municipal nurseries. | Short | Directorate-General for Public Services | Municipal Government, Academy |
| 1.1.3 Increase the number of air quality monitoring stations, mainly PM 10 and PM 2.5 particles. | Medium | Directorate of Ecology | Municipal Government, State Government, Federal Government |
| 1.1.4 Implement an adequate waste management programme in the city, including domestic and industrial waste, including recycling, tyre management and reuse of resources. | Short | Directorate-General for Public Services | Municipal Government, Business Chambers |
| 1.1.5 Promote the use of sustainable energy generated in the municipality for domestic, industrial, or public facilities. | Medium | Resilience Coordination | Municipal Government, Business Chambers |

Table 2. Target 1.1.

Lines of action that are closely related to other products:

Target 1.2: By 2040, strengthen the resilience of Ciudad Juarez through the network of public spaces, integration with the environment and rural areas.

SDG Alignment:

| Line of action | Dead-line | Responsible Actor | Collaborating Actors |
|--|-----------|---|--|
| 1.2.1 Promote urban-rural integration in the municipality by consolidating the integration of the Juarez Valley into the urban dynamic, guaranteeing inter-municipal mobility, consumption of local agricultural production and land use planning. | Medium | Directorate of Rural Development, Directorate General for Urban Development | Municipal Government |
| 1.2.2 Promote the creation, maintenance, and activation of a network of green corridors and green areas that integrate rain gardens, pocket parks, and public spaces that consider nature-based solutions (NBS). | Short | Directorate General for Public Services, Resilience Coordination | Municipal Government |
| 1.2.3 Develop and implement a strategy for the restoration of the Sierra Juarez and the preservation of the flora and fauna protection area of the Medanos de Samalayuca natural area. | Long | SEMARNAT, CONANP, Coordination of Resilience | Municipal Government, Federal Government |
| 1.2.4 Create a system of municipal parks where landscape development, maintenance of plant species, promotion of a culture of water conservation, installation and maintenance of sports equipment, and promotion of recreation and healthy coexistence are encouraged. The network will include Chimalizal Park, Central Park and Surround Park. | Medium | Resilience Coordination, Directorate General of Public Services | Municipal Government, State Government, Federal Government |
| 1.2.5 Develop a strategy for the recovery and rehabilitation of the municipal irrigation ditch system. To this end, priority will be given to the creation of green-blue corridors along the Acequia Madre, which will promote, on the one hand, environmental recovery and, on the other, access to quality public open spaces for the inhabitants of the municipality. | Long | CONAGUA, Directorate General for Public Services | Municipal Government, Federal Government |

Table 3. Target 1.2.

Target 1.3: By 2040, Ciudad Juarez will have integrated water management.

SDG Alignment:

| Line of action | Dead-line | Responsible Actor | Collaborating Actors |
|---|-----------|--------------------------------------|--|
| 1.3.1 Implement and maintain infrastructure for infiltration, collection, and reuse of rainwater through soakaways and, where feasible, treatment, storage, and reuse systems for vegetation. | Medium | Directorate-General for Public Works | Municipal Government, State Government |

Objective 1: Sustainable and resilient city- Ciudad Jarez 2040 vision, Mexico, UN-Habitat

For more information access: [Ciudad Juarez 2040 City Vision](#)

23

ACTIVITY

Strategic Projects Workshop

2 Weeks
Participation  

Objective

Identify strategic projects that will allow the vision and strategies to materialise the strategic and spatial component of the Plan.

Results

- List of strategic projects
- Final report of the Strategic and Spatial Development Plan

Tools

T7 [Workshop Checklist](#)

T32 [Strategic and Catalytic Projects Workshop](#)

Description

The definition of strategic and catalytic projects within the Strategic and Spatial Development Plan makes direct linkages between the plan and its implementation. This is a participatory activity that can take place in a workshop, in which the technical team, the advisory committee, the steering committee, and other key stakeholders discuss together what are the strategic projects that align and fulfill the vision. This activity builds on the Formulation of Strategies and Initiatives (Activity 22) but goes into more detail by defining the most strategic projects.

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

Afterwards, through brainstorming, discussion and mapping, a series of strategic projects that respond to the strategies raised and are located in priority areas are defined. These must be concrete proposals and should solve and respond to more than one goal, i.e., their benefits address various challenges and their implementation is capable of triggering different beneficial processes for the city. During the workshop, projects can be prioritised to identify those that are most urgent.

Subsequently, the technical team systematises the information gathered to establish a list or bank of strategic projects, link them to the objectives, prioritise them and identify potential allies. This list will then be prioritised in the strategic project portfolio in **Phase 3 Operationalisation**. The project list may consider other categories. An example might be catalytic projects, those that are smaller in scale and can be implemented at lower cost and in a shorter time frame.

Finally, the Strategic and Spatial Development Plan document is consolidated, which integrates all the activities of this Block and their results, including the vision and its spatialisation, and the complete framework of city's vision, goals, strategies, lines of action, actions, and list of strategic projects.

◆ Steps

1. Prepare any required material for the session (**T7 Workshop Checklist** and **T32 Strategic Projects Workshop**)
2. Review the results from previous activities such as the analysis and diagnosis, city's profile, the strategic vision and goals, the spatialisation of the strategic vision, and the spatial framework.
3. Review the constraints, challenges and opportunities, and constraints map, the sustainable development structure and the spatial strategies, and identify priority areas.
4. In groups, identify, brainstorm and discuss the strategic projects and priorities aligned to each of the plan's goals (**T32 Strategic Projects Workshop**).
5. Map the specific locations where the projects should be implemented, based on the **Spatialisation of the Strategic Vision (Activity 19)**.
6. The technical team systematises the information and establishes the list of strategic projects, prioritising them according to the participatory voting during the workshop, and their alignment to the goals, strategies and action lines.
7. Integrate a final report of the Strategic and Spatial Development Plan, including all the components of **Block E Strategic Development and Spatial Plan**, share it with the advisory committee for validation and publish it as part of the communication and participation strategy.

✦ References

- [SDG Project Assessment tool](#)
- [Project Portfolio Towards the Vision of San Nicolás de los Garza 2030, Mexico](#)



▲
Participatory workshop in El Huevo, Argentina, UN-Habitat

Objective

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

Results

- Environmental and Social Screening Report
- Environmental and Social Development Impact Plan (DIP)
- Environmental and Social Scoping Report (ESSR)
- Environmental and Social Action Plan (ESAP)
- Environmental and Social Impact Assessment (ESIA)

Tools

- T10** [Environmental and Social Screening Report](#)
- T11** [Environmental and Social Development Impact Plan \(DIP\) Template](#)
- T30** [Environmental and Social Scoping Report Template](#)
- T31** [Environmental and Social Action Plan Template](#)
- T66** [Environmental and Social Impact Assessment Template](#)

Description

The environmental and social impact strategy arises from adapting UN-Habitat's Environmental and Social Safeguards System (ESSS), which facilitates the identification, mitigation and monitoring of social and environmental risks and impacts that could be triggered by the strategic development and spatial plans and strategic projects. It should be noted that, although countries may already have processes in place for environmental and social impact assessment, it is advisable to use this activity as a complementary strategy to this process in order to have as comprehensive an analysis of social and environmental risks and impacts as possible.

The environmental and social impact strategy of the project will be developed based on the information gathered from **Block D Analysis and Diagnosis** and the activities. If the objective is to prepare a city level output (either plan or project), the outputs from the **Scenario Building (Activity 17)**, The **Strategic Visioning Workshop (Activity 18)** and the **Spatialization of the Strategic Vision (Activity 19)** will have to be taken into account. If the objective is to prepare a neighbourhood plan or intervention the outputs from the **Neighbourhood Plan and Design (Activity 33)** and **Neighbourhood Projects and Interventions (Activity 34)** will have to be taken into account. Initially, the risk level of the plan or project should be identified through a **T10 Environmental and Social Screening Report**. This will allow a timely and preliminary review of the characteristics of the project that may trigger environmental and social impacts. With the Screening report it is possible to categorize the level of environmental and social risk. Depending on the level of risk identified and the type of project (urban plan or physical intervention), different reports and plans will have to be developed with a level of detail that varies according to the level of risk.

For the development of plans with low risk and impact, a **T11 Environmental and Social Development Impact Plan (DIP)** - a simplified plan to control risks and impacts - must be prepared; the preparation of the DIP requires a discussion and identification of the activities, initiatives and actions that the strategic development plan proposes, and consists of two synoptic tables.

For plans with high level of socio-environmental risk and impacts, a **T30 Environmental and Social Scoping Report (ESSR)** as and a **T31 Environmental and Social Action Plan (ESAP)** must be completed. The goal of the ESSR is to prepare the team for the development of the T31 Environmental and Social Action Plan (ESAP). For the ESAP, the team will determine detailed measures to avoid negative impacts and a monitoring plan to control unexpected impacts. The ESAP consists of three main sections: the results of the ESSR, an Environmental and Social Management Plan and the list of stakeholders to be involved.

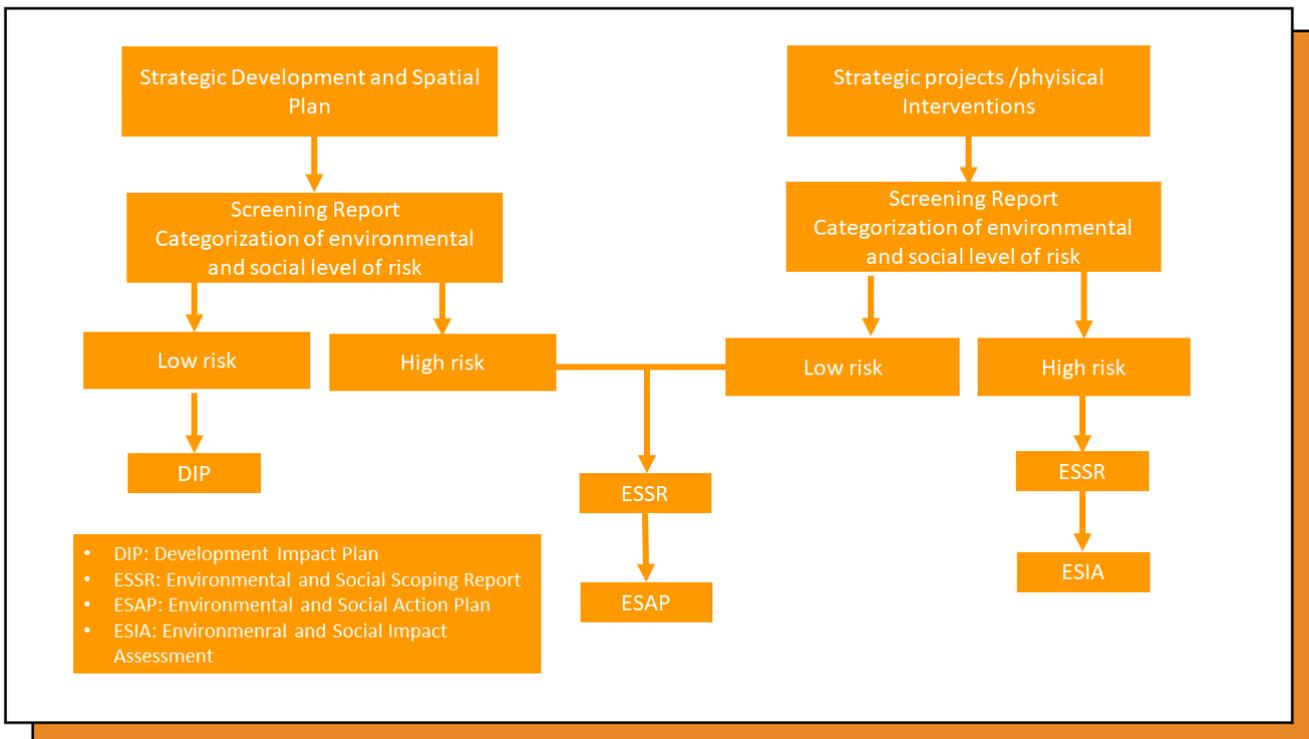
For the planning of physical interventions through strategic projects, regardless of the level of risk, a ESSR should be prepared, and subsequently, depending on the level of risk, a PAAS (for physical interventions with low socio-environmental risk) or an **T66 Environmental and Social Impact Assessment (ESIA)** (for physical interventions with high socio-environmental risk) will be developed. The ESIA is the most detailed document to be developed in the strategy and the one that requires more technical capacity for its development, as it includes the baseline environmental and social studies to be executed, as well as the specific identification of impacts, their mitigation and a monitoring plan. The ESIA can be completed with a participatory process for identifying socio-environmental risks.

Steps

1. Review the level of risk defined in the **T10 Environmental and Social Screening Report** for the Neighborhood plan and/or neighborhood projects and interventions.
2. Identify whether an Impact Development Plan (DIP) – for plans with low socio-environmental risk – or an Environmental and Social Scoping Report (ESSR) – for plans with high socio-environmental risk and any physical interventions – is required.
3. If only one DIP is required, complete Template **T11 Environmental and Social Development Impact Plan (DIP) Template**.
4. If a ESSR is required, complete **T30 Environmental and Social Scoping Report Template (ESSR)**.
5. Identify whether an **T31 Environmental and Social Action Plan Template (ESAP)** or an **T66 Environmental and Social Impact Assessment Template (ESIA)** is required.
6. Share the finalized results with the sector of the municipality responsible for the city plan for review and approval.

References

- UH-Habitat Environmental and Social Safeguard System (ESSS) 3.1



▲ Example of an Environmental and Social Impact Strategy, UN-Habitat

Presentation and validation of results (Strategic Development Plan)

Objective

Present and validate the Strategic and Spatial Development Plan to the entire community, inviting the public to provide feedback.

Results

- Validation of the Strategic and Spatial Development Plan

Tools

T13 [Participation Plan Guide](#)

T41 [Citizen Engagement Guide](#)

Description

The content of the Strategic Development Plan lays the foundation for what is to be done. The process of validating it can be an opportunity to align the different expectations that stakeholders have of their city for the coming years and to give the opportunity to different actors to see how they can contribute to the implementation of the Plan. With this in mind, it will be of great importance to show the results of all the content that was elaborated in this block, it is also important to evidence those processes that were participatory, but also to show that the process does include a participatory component. Socialisation, consultation and involvement can be done at the same time, using the **[T41 Citizen Engagement Guide](#)**.

This is an example of how the presentation and validation of results can be structured using the guide:

A one-day activation (which can be replicated in different parts of the city) consisting of the pedestrianisation of a little-travelled road, as a demonstration of the action to increase quality public space, together with an open-air exhibition showing the results of the plan. In this same activation, a big "malón" can take place where people discuss with each other their opinions about this experience and what is proposed in the exhibition. They are then invited to vote for those projects that they consider to be the most important and have the greatest impact, as well as suggesting projects.



Regardless of whether it is in the team's plans to carry out only this plan or the other plans, it is important to document the activities and the participation that took place. It is also important for the team to grow the database of those who want to be aware of the process.

Consideration: It may be the case in some cities where the law requires a process of validation and consultation with neighbours. However, it is considered appropriate in those cities where it is not a requirement of the planning process, to make the effort to carry out the three components of the guide (socialise, consult or validate).

Steps

1. Determine the content that requires validation and that which will give context to what will be validated in this activity.
2. Using **T41 Citizen Engagement Guide** and the results of **T13 Participation Plan Guide**, determine the activities that are best suited to the content to be presented.
3. Convene as outlined in the **Communication Strategy (Activity 10)** and the database collected from the **Public Launch of the Planning Process (Activity 11)**.
4. Carry out the activities set out in step 2.
5. Document the results of the activities in a report.
6. Remind participants of the following appointments and next steps.
7. If needed, share the team's contact information with new interested stakeholders.
8. Review the inputs from this activity and incorporate them into the Strategic Development Plan.



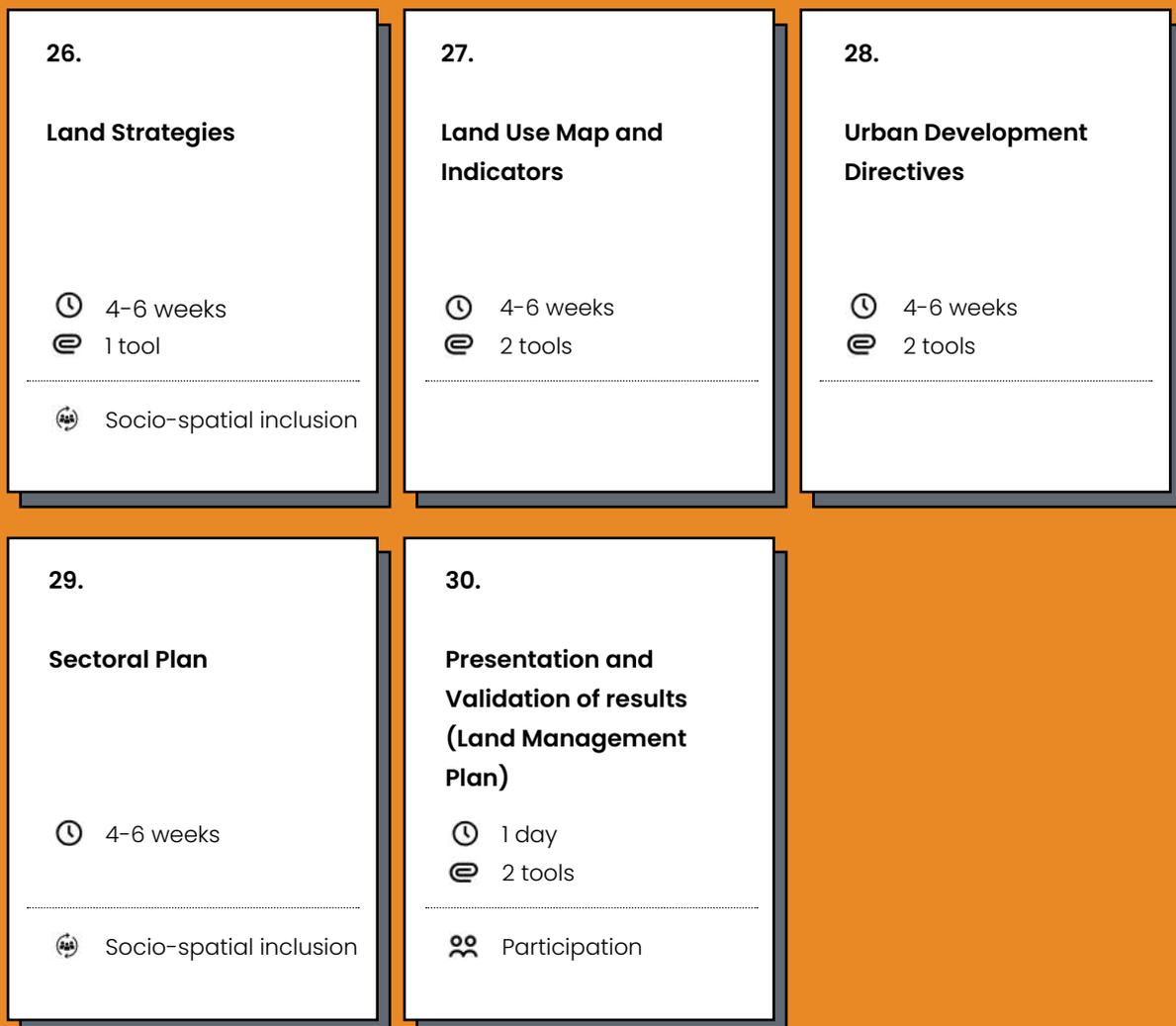
▲ Presentation and validation of results - Bubaque, Guinea Bissau, UN-Habitat

F Land Management Plan

BLOCK

The Land Management Plan guides the urban development of the city for the next 10 to 15 years. It is a regulatory spatial document with legal value that translates the spatial strategies into a detailed land use plan, and provides uses, developments and potential of land as well as restrictions and responsibility tied to it. It should be developed in the most consultative and inclusive way and builds on expert deliberations held through multi-stakeholder discussions. It provides the local government a tool to dialogue with future investors and partners, to select and prioritise projects, and to guide urban development towards the principles of Sustainable Urban Agenda.

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





Objective

Define strategies and initiatives to regulate the territory, according to key territorial systems. Determine the urban structure of the city, strategic areas of urbanisation, and development/functional zones.

Results

- Map of strategies and initiatives of each territorial system (e.g. green and blue infrastructure, mobility, urban, economic-productive).
- Map of urban development structure and strategic areas.
- Map of development zones.

Tools

T63 [Land Strategies Guide](#)

Description

The Land Management Block starts by identifying the territorial strategies and initiatives that should be undertaken in the city in order to plan for its sustainable development in the long term vision. This Block and Activity can be either developed building on the results on the previous **Block E Strategic Development and Spatial Plan**, or independently.

The first step is to define the territorial systems that apply to the city, aligned to thematic areas, such as green and blue infrastructure, mobility, urban, and economic-productive (**T63 Land Strategies Guide**). Additional ones could include the Cultural system and/or the Risk Reduction system. Then, for each of the systems a goal or set of goals is defined for the long-term city vision, according to the challenges and opportunities of the city identified in in **Block D Analysis and Diagnosis**.

Once the goals are defined, main land strategies and territorial initiatives are identified for each of the systems, which instrumentalize how to achieve each of the goals. Strategies are statements that break down the goals into clearer paths. Initiatives are specific actions, projects, programs, normative instruments that detail how the strategies can be achieved. For example, the Urban System can entail which areas need to be densified and consolidated and where new areas for urbanisation are needed and proposed, together with the instruments and actions (initiatives) that will lead to those urban development strategies.

The Land Strategies framework includes the territorial systems with strategies and initiatives for each one, plus a consolidated map of a spatialized land strategies that bring all of the territorial systems together. Additionally, the initiatives that correspond to key projects are identified to later operationalise them in **Phase 3 Operationalisation**.

Once the land strategies and initiatives framework is established, the urban development structure and strategic areas are defined. This could have been developed earlier in **Block E Strategic Development and Spatial Plan**, if the Strategic Development and Spatial Plan was completed. However, if the city is only focusing on the **Block F Land Management Plan**, it is now moment to elaborate the **Urban Development Structure (Activity 20)**, which focuses on determining the urban perimeter and the urban, rural and expansion areas, as well as the conservation, consolidation and transformation areas. This is followed by the definition of **Development Zones (Activity 21)** according to the vocational function and the key strategic densities of each sector of the city. This information will be key to define the land use map in the next activity.

This activity is carried out by the technical team based on the main findings from the analysis and diagnosis but should include participatory moments and activities to complement and build this strategic framework, inviting the community/citizenship as well as the steering and Strategies and initiatives result from the participatory activities developed previously, as well as the advisory and steering committee.

Steps

Part 1:

1. Review the results from **Block D Analysis and Diagnosis**.
2. Define the territorial systems that apply to the city, according to the key thematic areas identified in the diagnosis. (**T63 Land**
3. **Strategies Guide**).
4. For each of the systems, identify key goals, based on the challenges and opportunities the city phases.
5. Define the main territorial strategies for or each of the systems.
Propose initiatives to implement the strategies proposed. These may focus on certain sub-themes and can entail projects, programs, instruments, etc.
- 6.

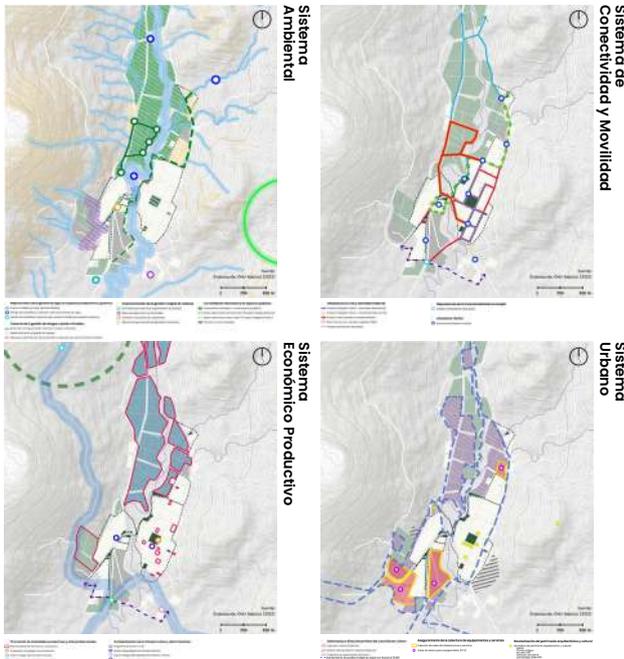
Part 2: Consolidate the framework of land strategies in a document.

1. (If **Block E Strategic Development and Spatial Plan** was not developed)
2. Review and carry out **Urban Development Structure (Activity 20)**, following the instructions and tools included.
Review and carry out **Development Zones (Activity 21)**, following the instructions and tools included.

References

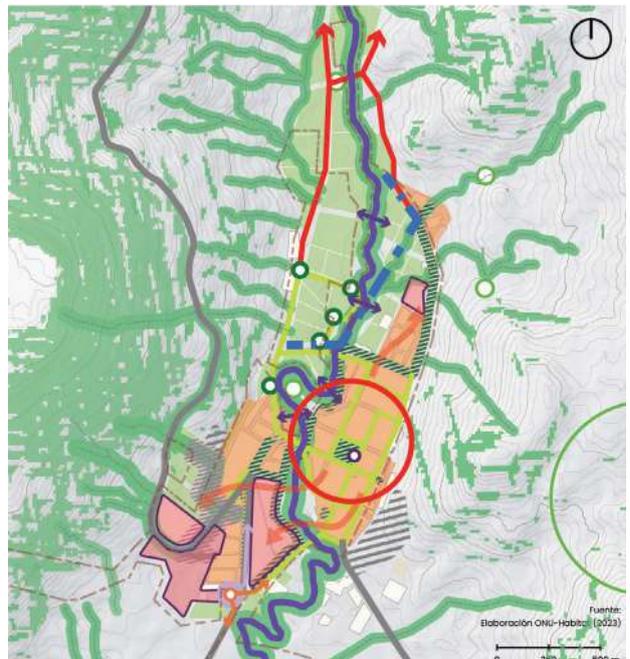
- [Urban planning, beautification and extension project of the city of Beaumont](#)
- [Urban planning, beautification and extension project of the city of Dame Marie](#)
- [Urban planning, beautification and extension project of the city of Jérémie](#)
- [Urban planning, beautification and extension project of the city of Les Cayes](#)
- [Urban development initiative \(UrDI\) for the Canaan area of Port-au-Prince](#)

Sistemas territoriales



“En 2035, El Huecú será sostenible, productivo, inclusivo e intercultural, fomenta valores como la solidaridad, el respeto, la tolerancia y el compromiso, por medio de la participación ciudadana y el cuidado del ambiente, la generación de oportunidades y la preservación de la cultura, la identidad y los sabores locales”

Modelo Deseado



 **Objective**

Define land uses and its regulatory directives with specific urban indicators.

 **Results**

- A land-use map determining the future land development of the city.
- Regulatory directives and indicators applied to each land use of the city.

 **Tools**

T36 [Compatibility of Functions Guide](#)

T37 [Land Use Indicators](#)

 **Description**

This activity aims to translate the identified land strategies into detailed directives, regulating the use of the land. Building on the results of the Developments Zones, a more detailed land use map is elaborated. Land use maps should promote flexibility and compatibility of functions, as well as an equal distribution of services. Providing smart mixed-use land management strategies, the plan should promote and guide the building of compact and inclusive cities, with a transit-oriented approach. Specifically, the compatibility of functions (**T36 Compatibility of Functions Guide**) should indicate forbidden, tolerated and conditional uses for each land use zone to ensure flexibility and the opportunity to introduce land capture mechanisms. The plan will then become a smart and effective tool to moderate the negotiations between the municipality and the future developers and ensure the achievement of sustainable and resilient urban development.

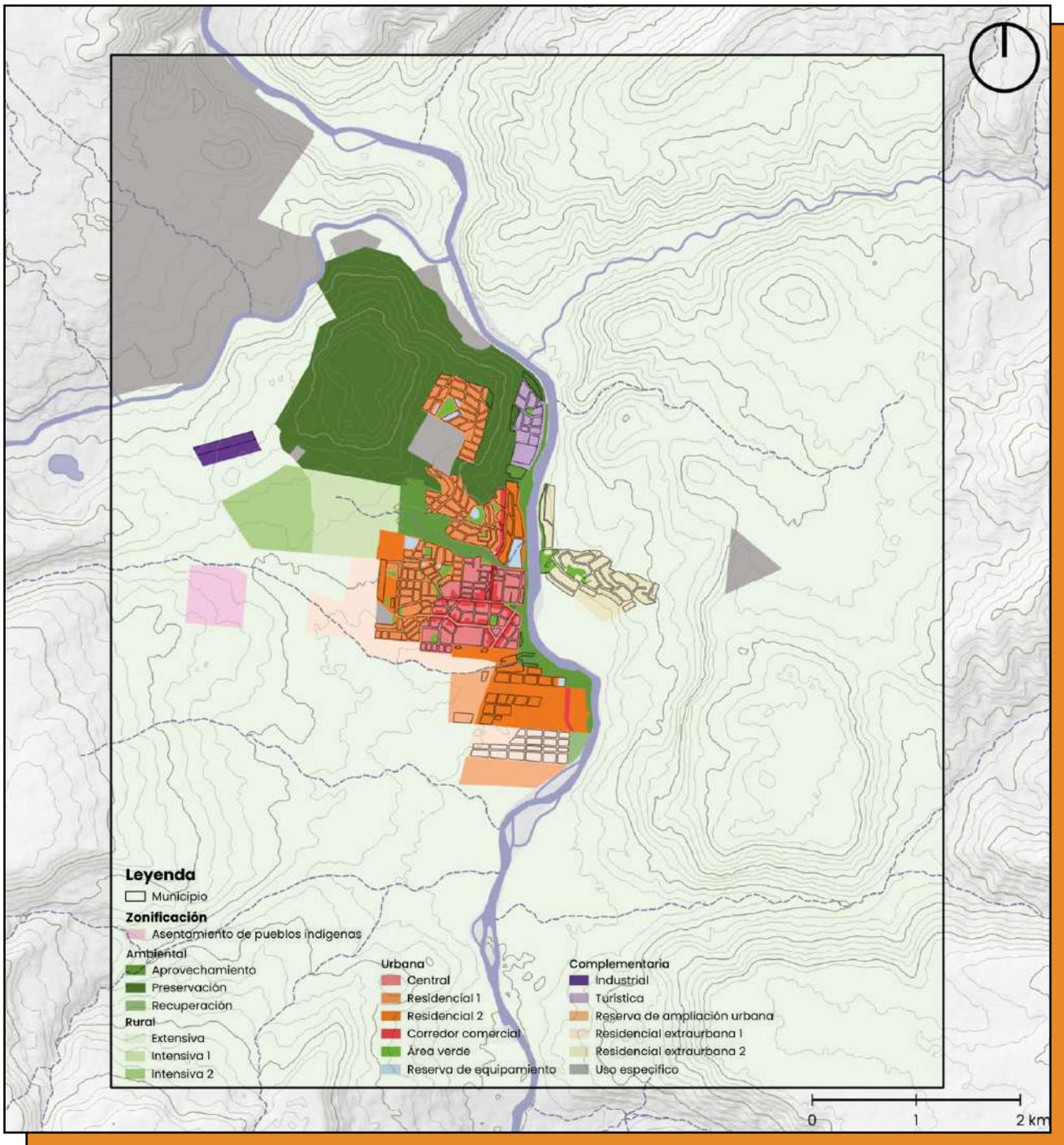
Additionally, each land use should have clear development indicators (e.g. floor area ratio (FAR), maximum height of the buildings, setbacks, etc.). The plan should indicate a minimum and maximum density for each sub-zone (FARs), however, the built-up density will depend on the developers and the mechanisms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

 **Steps**

1. Review the **Land Strategies (Activity 26)** and the definition of development zones.
2. Establish the categories for land use that will be used for the city and specific context. Review **Legal Framework Review (Activity 2)** to determine if there is a legal framework or policy that already defines them.
3. Identify sub-zones within the development zones and determine a land-use in alignment to the land strategies and initiatives, the urban development structure and the development zones.
4. Define the following regulatory directives for each sub-zone:
 - a. Elaborate a compatibility of function guide **T36 Compatibility of Functions Guide** to detail land use indications, consistent with the Development Zones (social, strategic, environmental, cultural).
 - b. Assign urban planning indicators such as ratio of private/public land, gross floor area index, green index, etc. (see smart mixed-use land management guide). This will also depend on the local planning legal framework. (**T37 Land Use Indicators**)
5. Prepare a regulatory land-use map.
6. Compile all the regulatory directives and indicators into a comprehensive report linked with the land-use map.
7. Share the results with the Advisory Committee and review the plan based on the feedback.

References

- Tenure responsive land use planning - A Guide for Country Level Implementation
- Planning Sustainable Cities UN-Habitat Practices and Perspectives



▲
Land Use Map for Alumine 2035 Plan - Neuquen, Argentina, UN-Habitat

Objective

Define urban development directives to guide urban planning and design according to concrete objectives, in specific areas of the cities.

Results

- A report or guide on urban development directives for a specific area of the city or cross-cutting sector (e.g. mobility, basic services, etc.)

Tools

T26 [Thematic Issues Checklist](#)

T68 [Urban Development Directives Guide](#)

Description

In addition to land use regulatory directives, particular standards can be developed for some areas where land use and/or the urban profile are to be regulated, both quantitatively and qualitatively (**T68 Urban Development Directives Guide**). For example, guidelines that discourage parking space or regulate its location; establish façade characteristics to encourage an active and porous first floor; encourage the creation of public spaces on the first level or widening of sidewalks; encourage ecological criteria and sustainable buildings, etc. Particular regulations and standards are an opportunity to offer real estate developers density bonuses in exchange for the application of certain guidelines, or the capture of capital gains that allow the implementation of urban projects.

More detailed recommendations on specific themes, such as housing, green spaces, public space, mobility, basic services, risk management, water management, climate resilience, security, etc., can also be integrated into the Land Management Plan. Use the **T26 Thematic Issues Checklist** to ensure that all relevant themes are included within the Plan. These can also be detailed as **Sectoral Plan (Activity 29)**.

Finally, other areas of the city where a more specific plan is required can be defined. These may be called neighbourhood, partial or local plans depending on the country and seek to provide more precision on urban planning and development in that area. This may be due, for example, to the implementation of a strategic infrastructure project that will potentially change urban dynamics and need to be regulated, or an area of informal settlements that requires a specific plan to improve current conditions, among others.

Once the Land Management Plan, which can include all or some of the following (according to the context): the urban development structure, development zones, land use plan and indicators, and urban development directives, has been drafted, it should be submitted to the Advisory Committee. Once expert opinions have been included, the Plan should begin the process of socialisation and subsequent approval.

Steps

1. Identify specific areas of the city that need urban development regulations or guidelines to promote specific characteristics or objectives and/or sectorial recommendations related to mobility, social housing, environment, public facilities, basic services, heritage, etc. (**T68 Urban Development Directives Guide**)
2. Elaborate additional cross-cutting recommendations, using **T26 Thematic Issues Checklist**, to address aspects such as social inclusion, human rights, resilience, hazard risk and safety.
3. Prepare a regulatory land-use map.
4. Compile all the regulatory directives into a comprehensive report linked with the land-use map.
5. Share the results with the Advisory Committee and review the plan based on the feedback.

References

- [Master Plan Puente Nichupté \(p. 367\)](#)

Objective

Define specific sectoral plans that include an overarching strategy and elaborated regulatory directives for thematic areas 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, disaster risk reduction, climate action, energy and information systems, mobility, heritage, housing, waste management, slum regeneration, network of public spaces, etc.

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

Steps

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

References

- [A Practical Guide to Designing, Planning, and Executing Citywide Slum Upgrading Programmes](#)
- [Streets as tools for urban transformation in slums: a UN-HABITAT approach to citywide slum upgrading. Working paper. Nairobi, UN-Habitat.](#)
- [Integrating health in urban and territorial planning: a sourcebook for urban leaders, health and planning professionals](#)
- [City-wide public space strategies: a compendium of inspiring practices](#)
- [Waste Wise Cities](#)
- [Planning for Climate Change: A strategic, values-based approach for urban planners](#)
- [Constructed Wetland Manual](#)

Presentation and Validation of Results (Land Management Plan)

Objective

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

Results

- Validation of the Land Management Plan

Tools

T13 [Participation Plan Guide](#)

T41 [Citizen Engagement Guide](#)

Description

The presentation and validation of the results of Block F Land management plan should follow the logic indicated in the **T41 Citizen Engagement Guide**. This implies socialising and consulting the results, the process and the impact of the plan with those actors who were part of the formulation process of this block, as well as those who are not yet familiar with the proposal and it is important that they validate it. It should also be a moment to involve new stakeholder groups in the plan and to be able to count on them as promoters of the project with other potential stakeholders.

The land management plan sets out concrete proposals in specific territories, as well as regulations and guidelines for the design of these proposals, all in technical language. It is important that the team manages through different activities to convey the plan's proposal in a friendly language so that it is clearly understood. This will likely mean that the process will require several iterations and time.

The process must be open enough to receive feedback from the neighbours, as they are the ones who will be impacted by the proposals and are the ones who live in these territories. This is a key moment to present the plan together with the promoters and allies who have been part of the elaboration of the plan. The plan could also be made available on the internet for public consultation for a period of time. To reach a wider audience and gather any additional input not captured during the presentation of results, this online engagement should be promoted via different channels.



Consideration: It may be the case in some cities where the law requires a process of validation and consultation with neighbours. However, it is considered appropriate in those cities where it is not a requirement of the planning process, to make the effort to carry out the three components of the guide (socialise, consult or validate).

◆ Steps

1. Determine the content that requires validation and that which will give context to what will be validated in this activity.
2. Using **T41 Citizen Engagement Guide** and the results of **T13 Participation Plan Guide**, determine the activities that are best suited to the content to be presented.
3. Convene as outlined in the **Communication Strategy (Activity 10)** and the database collected from the **Public Launch of the Planning Process (Activity 11)**.
4. Carry out the activities set out in step 2.
5. Document the results of the activities in a report.
6. Remind participants of the following appointments and next steps.
7. If needed, share the team's contact information with new interested stakeholders.
8. Review the inputs from this activity e Public Hearing and incorporate them into the Land Management Plan



Participatory workshop, Saudi Arabia, UN-Habitat

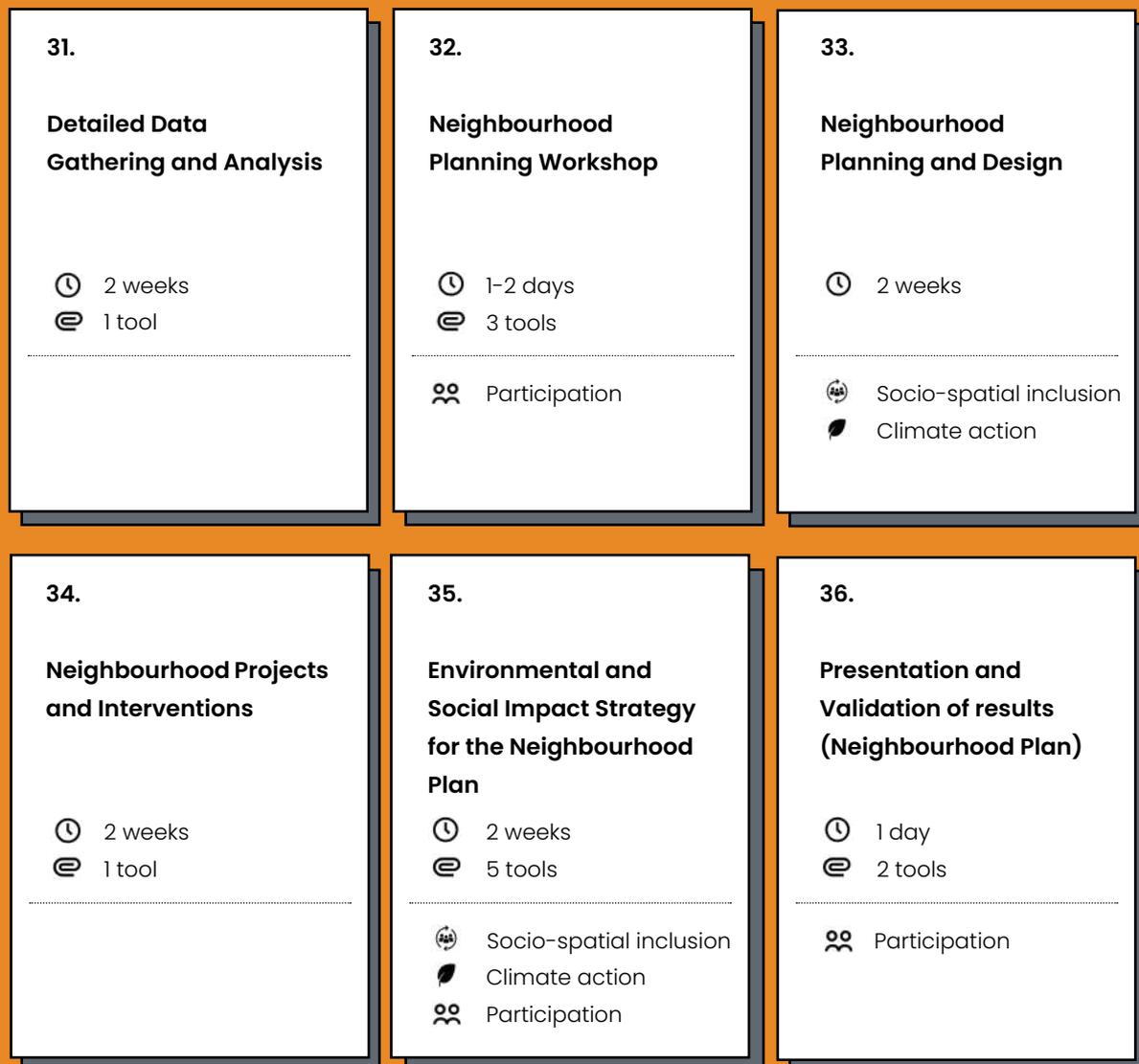
G

G Neighbourhood Plan



BLOCK

Neighbourhood plans are localised urban development plans prepared in alignment to the Strategic Development and Spatial Plan. They focus on specific localities of an urban centre, and are used to implement the city's strategic and catalytic projects and/or more detailed scale or partial plans. Specifically, they focus on the development of extension, regeneration or densification interventions. The outputs of this Block should be detailed and implementable plans with smart solutions that consider social, economic and environmental impact in a neighbourhood or smaller scale area of the city. Some activities from **Block E Strategic Development and Spatial Plan** can be replicated here at a neighbourhood scale.



 **Objective**

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

 **Results**

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

 **Tools**

T38 Detailed Data Gathering and Analysis Checklist

 **Description**

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

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

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

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

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

 **Steps**

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

✦ References

- Public Space Site-Specific Assessment Guidelines
- My Neighbourhood

📍 Disaster Risk Reduction and Climate Action

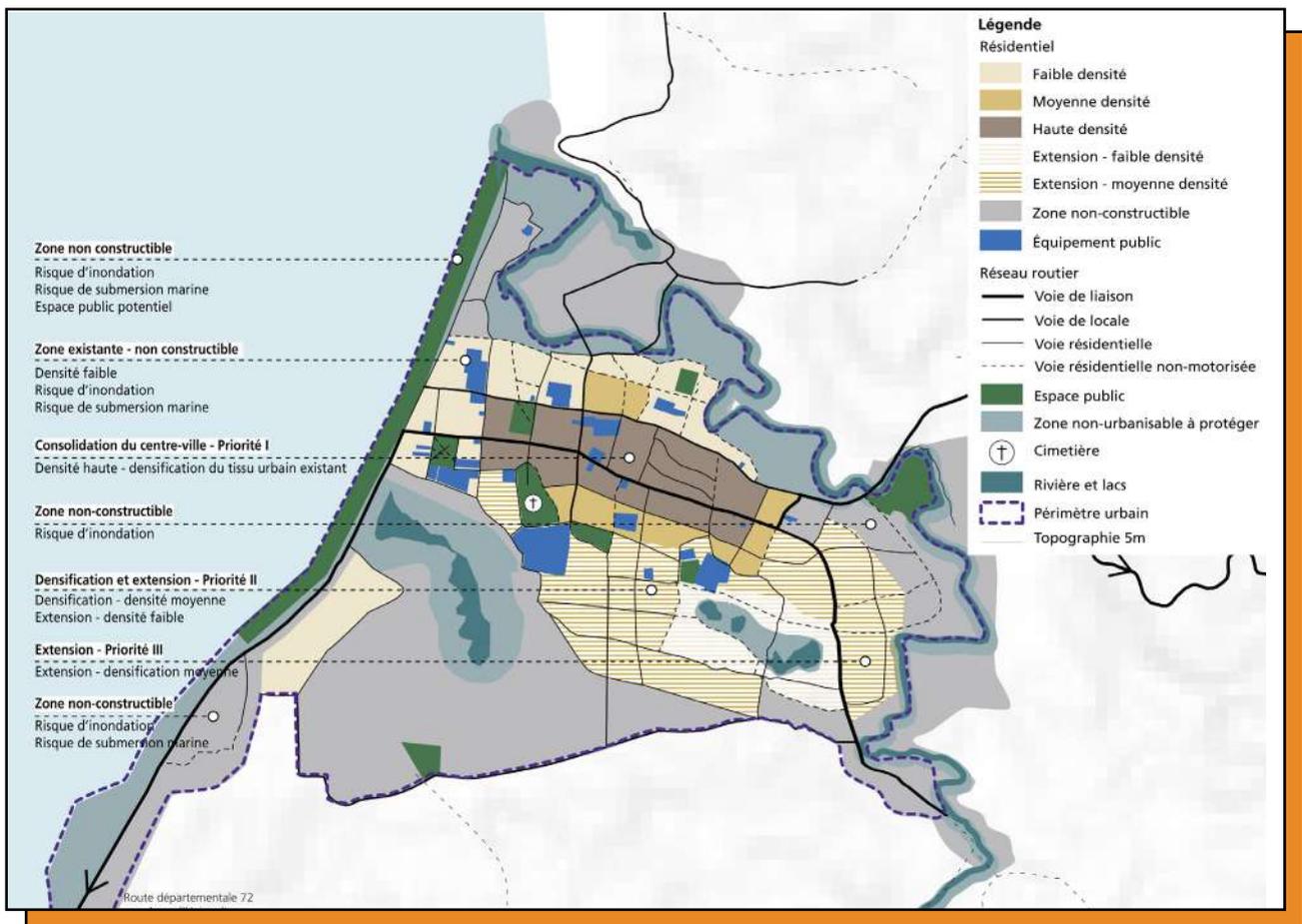
It is possible to conduct a neighbourhood vulnerability mapping and assessment, following the same methodology as described in **T20 Vulnerability Assessment**. Additional data should be collected at neighbourhood scale, through household surveys or neighbourhood walks, using geotagging in order to identify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

🔗 Tool

T20 Vulnerability Assessment

✦ Additional resources:

- [Climate Change Vulnerability and Risk](#)
- [Prepared Communities: Implementing the Urban Community Resilience Assessment in Vulnerable Neighbourhoods of Three Cities](#)
- [Municipal Climate Action Strategy for San Nicolás de los Garza](#)



Objective

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

Results

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

Tools

- T7** [Workshop Checklist](#)
- T12** [Stakeholders' Mapping](#)
- T39** [Neighbourhood Planning Workshop Guid](#)

Description

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

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

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

Target Stakeholder

Technical team, the community and relevant stakeholders regarding the selected neighbourhood.

Steps

1. Validate the neighbourhood boundary and conduct a stakeholder mapping exercise for the neighbourhood scale (**T12 Stakeholders' Mapping**).
2. Review and validate the data gathered and spatial analysis maps for the city scale (**Block D Analysis and Diagnosis**), highlighting the challenges and opportunities.
3. Discuss the city's vision and select specific targets and goals that apply to the Neighbourhood Plan (**Strategic Visioning Workshop (Activity 18)**)
4. Review the results from **Block E Strategic Development and Spatial Plan** and/or **Block F Land Management Plan**, specifically the components that apply to the neighbourhood area (e.g. urban development structure and strategic areas, development zones, land strategies, land uses). Design a conceptual scheme for the neighbourhood.

References

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

Suggested agenda 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.

| | |
|-------|---|
| 08.00 | Registration and breakfast |
| 08.30 | Opening by the Mayor or the project manager followed by an introduction of each participant |
| 09.00 | Plenary session: Presentation of the outputs of previous planning activities |
| 11:30 | Coffee break |
| 12.00 | Discussion group: Selection of goals and targets |
| 13.30 | Lunch break |
| 14.30 | Discussion group: Neighbourhood Conceptual Design |
| 16:00 | Presentation of the final results of the session |
| 17.00 | Closing remarks |

33

ACTIVITY

Neighbourhood Plan and Design

2 Weeks 
Socio-spatial inclusion 
Climate action 

Objective

Develop an implementable urban design plan for the neighbourhood based on the data gathering, analysis and participatory activities.

Results

- Neighbourhood urban design plan (Neighbourhood 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 (Activity 32)** and additional urban interventions. The plan is guided by the city's land use map and the established spatial strategy: extension, regeneration, densification or conservation. Each one has specific focus and implications:

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

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

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

Steps

1. Review the data gathering and analysis and the outputs of the **Neighbourhood Planning Workshop (Activity 32)**.
2. Review the results from **Block E Strategic Development and Spatial Plan** and/or **Block F Land Management Plan**, specifically the components that apply to the neighbourhood area (e.g. urban development structure and strategic areas, development zones, land strategies, land uses).
3. Develop the design and guidelines for the Neighbourhood Plan.

References

- [Using Minecraft for Youth Participation in Urban Design and Governance \(Block by Block\)](#)
- [MY Neighbourhood](#)

Climate Action

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

- Design to manage high temperatures and drought: cool pavement materials, tree planting for shading and evapotranspiration, orientation of buildings to reduce solar gain, rainwater harvesting, etc.
- Design to manage flood risk: use of permeable surface materials, green spaces and green roofs to reduce runoff, widening of drains, etc.
- Design to manage erosion and landslide risk: surface erosion control structures, vegetation cover for soil retention, reinforcing of slopes.
- Design considering the zoning and land use regulations to limit neighborhood development in high-risk areas and promote the creation of safe zones for critical infrastructure and housing.

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

Additional resources:

- [A Practical Guide to Climate-resilient Buildings & Communities](#)
- [Build Green: Charter for Sustainable Building, Neighbourhood Design and Urban Mobility in Tropical Countries](#)
- [Energy and Resource Efficient Urban Neighbourhood Design Principles for Tropical Countries. Practitioner's Guidebook](#)
- [Climate change adaptation by design](#)



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ACTIVITY

Neighbourhood Projects and Interventions

2 Weeks 

Objective

Identify specific projects and interventions aligned to the Neighbourhood Plan.

Results

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

Tools

T40 [Preliminary Estimation of Costs Template](#)

Description

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

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

The identified projects and activities should be in line with the planning legal framework requirements (**Legal Framework Review (Activity 2)**). It is also important to verify their compatibility with the available resources (**Financial Resources Review (Activity 3)**) and elaborate a financial strategy. This activity provides a tool to support the estimated calculation of costs for the projects and interventions (**T40 Preliminary Estimation of Costs Template**). Then, these can be operationalised in **Phase 3 Operationalisation**.

Steps

1. Review the **Detailed Data Gathering and Analysis (Activity 31)** results and the **Neighbourhood Planning Workshop (Activity 32)** outputs.
2. Consolidate a list of actions categorised into projects (larger scale, higher cost, more time to implement) and interventions (lower cost, scale, and faster to implement).
3. Map the specific locations where the projects and interventions should be implemented.
4. Verify the compatibility of the plan with the legal resources and local governance (**Legal Resources Review (Activity 2)**).
5. Review the outputs of the **Financial Resources Review (Activity 3)**.
6. Elaborate a preliminary estimation of costs (**T40 Preliminary Estimation of Costs Template**).

References

- [Tactical urbanism master plan for San Nicolás de los Garza, Mexico](#)
- [Tactical urbanism master plan for Ciudad Juarez](#)



Ben Tre, Vietnam, UN-Habitat

Environmental and social impact for the Neighbourhood

Objective

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

Results

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

Tools

- T10** [Environmental and Social Screening Report Template](#)
- T11** [Environmental and Social Development Impact Assessment \(DIP\) Template](#)
- T30** [Environmental and Social Scoping Report Teplate](#)
- T31** [Environmental and Social Action Plan Template](#)
- T66** [Environmental and Social Impact Assessment Template](#)

Description

The environmental and social impact strategy arises from adapting UN-Habitat's Environmental and Social Safeguards System (ESSS), which facilitates the identification, mitigation and monitoring of social and environmental risks and impacts that could be triggered by the strategic development and spatial plans and strategic projects. It should be noted that, although countries may already have processes in place for environmental and social impact assessment, it is advisable to use this activity as a complementary strategy to this process in order to have as comprehensive an analysis of social and environmental risks and impacts as possible.

The environmental and social impact strategy of the project will be developed based on the information gathered from **Block D Analysis and diagnosis** and the activities. If the objective is to prepare a neighbourhood plan or intervention the outputs from the **Neighborhood Plan and Design (Activity 33)** and **Neighborhood Projects and Interventions (Activity 34)** will have to be taken into account. Initially, the risk level of the plan or project should be identified through a **T10 Environmental and Social Screening Report Template**. This will allow a timely and preliminary review of the characteristics of the project that may trigger environmental and social impacts. With the Screening report it is possible to categorize the level of environmental and social risk. Depending on the level of risk identified and the type of project (urban plan or physical intervention), different reports and plans will have to be developed with a level of detail that varies according to the level of risk.

For the development of plans with low risk and impact, a **T11 Environmental and Social Development Impact Assessment (DIP) Template** - a simplified plan to control risks and impacts - must be prepared; the preparation of the DIP requires a discussion and identification of the activities, initiatives and actions that the strategic development plan proposes, and consists of two synoptic tables.

For plans with high level of socio-environmental risk and impacts, a **T30 Environmental and Social Scoping Report Template (ESSR)** as and a **T31 Environmental and Social Action Plan Template (ESAP)** must be completed. The goal of the ESSR is to prepare the team for the development of the T31 Environmental and Social Action Plan (ESAP). For the ESAP, the team will determine detailed measures to avoid negative impacts and a monitoring plan to control unexpected impacts. The ESAP consists of three main sections: the results of the ESSR, an Environmental and Social Management Plan and the list of stakeholders to be involved.

For the planning of physical interventions through strategic projects, regardless of the level of risk, a ESSR should be prepared, and subsequently, depending on the level of risk, a PAAS (for physical interventions with low socio-environmental risk) or an **T66 Environmental and Social Impact Assessment Template (ESIA)** (for physical interventions with high socio-environmental risk) will be developed. The ESIA is the most detailed document to be developed in the strategy and the one that requires more technical capacity for its development, as it includes the baseline environmental and social studies to be executed, as well as the specific identification of impacts, their mitigation and a monitoring plan. The ESIA can be completed with a participatory process for identifying socio-environmental risks.

◆ Steps

1. Review the level of risk defined in the **T10 Environmental and Social Screening Report Template** for the Neighborhood plan and/or neighborhood projects and interventions.
2. Identify whether it requires an Impact Development Plan (DIP) – for plans with low socio-environmental risk – or an Environmental and Social Scoping Report (ESSR) – for plans with high socio-environmental risk and any physical interventions.
3. If only one DIP is required, complete Template **T11 Environmental and Social Development Impact Assessment (DIP) Template**.
4. If ESSR required, complete **T30 Environmental and Social Scoping Report Template (ESSR)**.
5. Identify whether an **T31 Environmental and Social Action Plan Template (ESAP)** or an **T66 Environmental and Social Impact Assessment Template (ESIA)** is required.
6. Share the finalized results with the sector of the municipality responsible for the neighborhood plan for review and approval.

✦ References

UH-Habitat Environmental and Social Safeguard System (ESSS) 3.1



Objective

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

Results

- Validation of the Neighbourhood Plan.

Tools

T13 [Participation Plan Guide](#)

T41 [Citizen Engagement Guide](#)

Description

The process of validation and presentation of the results of **Block G Simplified Neighbourhood Plan** is also an opportunity to celebrate the process with neighbours and to recognise the community as key actors in the elaboration of the plan; where all proposals reflect the interests of their neighbours. This is a moment to ensure that the expectations of the neighbours themselves are being met, as well as an opportunity to convince those neighbours who are sceptical about what the plan proposes.

As a neighbourhood plan, it would be best if the presentation and validation process takes place in the neighbourhood itself. The team and the neighbours can make a list of places (public or private) where this process can take place. Some places could be: parks, squares, streets, public car parks, shopping malls, schools, community centres or at the project house.

The technical team will present and validate the process using the T41 Citizen Engagement Guide. Considering the scale of the plan, the team can carry out a combination of the socialisation, consultation and engagement strategies. Socialisation and consultation can be carried out in simultaneous moments, where the plan proposal, the material that will give context to the proposal and the other plans that have been carried out in a participatory way both in their process and in their validation are presented.

Participatory budgeting or voting on the prioritisation of strategic projects are some genuine ways in which neighbours can be involved in the plan process. The team should aim to grow its database of citizens engaged in the plan once this activity is completed, as well as documenting the whole process of the activity itself.



Consideration: It may be the case in some cities where the law requires a process of validation and consultation with neighbours. However, it is considered appropriate in those cities where it is not a requirement of the planning process, to make the effort to carry out the three components of the guide (socialise, consult or validate).

Steps

1. Determine the content that requires validation and that which will give context to what will be validated in this activity.
2. Using **T41 Citizen Engagement Guide** and the results of **T13 Participation Plan Guide**, determine the activities that are best suited to the content to be presented.
3. Convene as outlined in the **Communication Strategy (Activity 10)** and the database collected from the **Public Launch of the Planning Process (Activity 11)**.
4. Carry out the activities set out in step 2.
5. Document the results of the activities in a report.
6. Remind participants of the following appointments and next steps.
7. If needed, share the team's contact information with new interested stakeholders.
8. Review the inputs from this activity and incorporate them into the Neighbourhood Plan.



Melaka, Malaysia, UN-Habitat

OPERA

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ACTION

03

BLOCK H. PROJECT PRIORITISATION



BLOCK I. INSTRUMENTS



BLOCK J. MONITORING AND EVALUATION



How do we transition from planning or action?

The objective of the third phase is to establish a series of actions and enable mechanisms to facilitate the operationalisation of the plan, its projects and strategies. The proposed projects are reviewed and more information is consolidated in order to prioritise them from a participatory and technical point of view, resulting in a portfolio of strategic projects. In addition, land management, financial, institutional and regulatory aspects are reviewed in order to define instruments and enable mechanisms that allow the implementation of projects and initiatives. Finally, a monitoring and evaluation framework is established through a set of targets and indicators, as well as a strategy, which will allow the plan to be followed up.

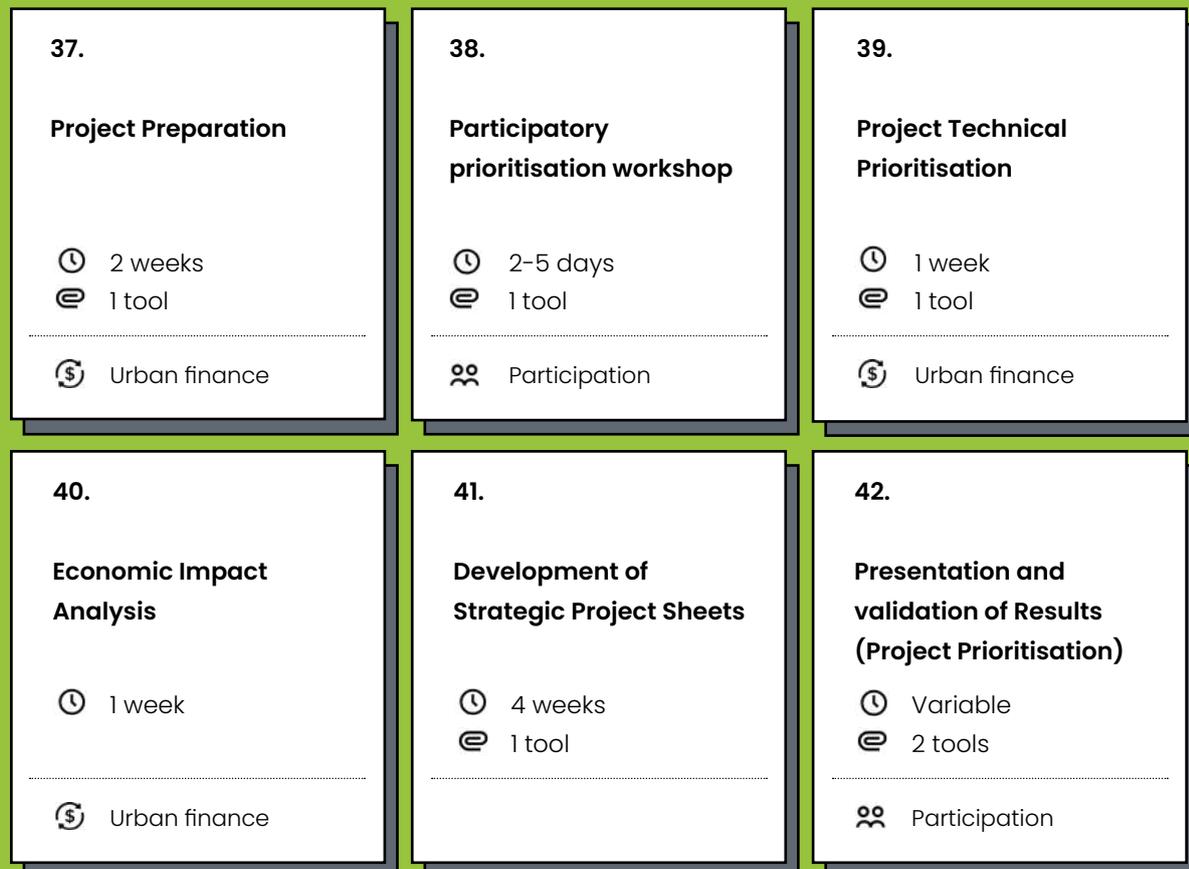
H

H Project Prioritisation



BLOCK

The Project Programming Block aims to prepare the necessary technical information of the projects and initiatives identified during Phase 2. This can apply to the projects identified for Block E Strategic Development and Spatial Plan or those prioritised from the initiatives of the Land Strategies (Activity 26) framework. This considers technical feasibility, participatory acceptance, objectives, benefits and costs, prioritisation and the definition of the strategic project portfolio. Subsequently, the programming of the projects focuses on the elaboration of the technical studies that will determine their viability. Finally, project documents and concept notes are developed for the strategic projects that belong to the portfolio, which consolidates all their information.



 **Objective**

Carry out a preliminary technical and economic analysis of the projects or initiatives in order to subsequently determine their feasibility and define its priority, as well as to assess whether they truly solve the challenges and problems identified in the previous phases.

 **Results**

- Preliminary analysis and information gathering for each of the strategic projects list defined in **Strategic Projects Workshop (Activity 23)**, or of the initiatives identified in **Land Strategies (Activity 26)** if Block E was not developed.

 **Tools**

T44 [Pre-feasibility study template](#)

 **Description**

In order to prioritise and define the most strategic projects of the plan to include in a Project Portfolio, a preliminary analysis must be conducted on the list of projects defined in Phase 2. If **Block E Strategic Development and Spatial Plan** was developed, these resulted from the **Strategic Projects Workshop (Activity 23)**. If **Block F Land Management Plan** was developed instead, projects resulted from **Land Strategies (Activity 26)**. Project preliminary studies can be more or less comprehensive, according to the time and resources available. However, it is important to have a base line in terms of the technical, financial and management solutions and constraints, as well as clarity on the benefits that each of the projects from the established list provide.

This activity seeks to consolidate information relevant to each of the projects or initiatives defined in Phase 2: Plan to subsequently prioritise them. The objective is to quickly obtain, with reliable but not detailed data, an approximation of the configuration of each project in all its facets. This will allow the team to order the ideas necessary for the resolution of the problem and to select and prioritise it among the available and possible alternatives in order to contemplate their applicability and possible outcome.

As a first step, the team should list the benefits that the project would be fulfilling according to different categories (e.g. protection of natural areas, increase or improve public space, promote and diversify housing, contribute to social cohesion, etc.). These benefits should be directly linked to the findings of the diagnosis and the results of the **Formulation of Strategies and Initiatives (Activity 22)** or **Land Strategies (Activity 26)**. The team should also list for each project, which objectives are being addressed. Projects subsequently prioritised in the strategic project portfolio should ideally respond to more than one objective.

For the pre-feasibility study, the technical team shall prepare a sheet with the following components, as a minimum requirement:

1. Preliminary technical study; how is the project going to be implemented, what is the strategy? You should have a preliminary idea of what the project involves and how the project will be developed.

2. Approximate financial costs; these can be global parametric costs and categories and ranges can be created. For example: less than USD 60,000 / between USD 60,000 and USD 500,000, between USD 500,000 and USD 2,000,000, etc. This can then help in the prioritisation of projects.

3. Implementation arrangements; it should take into account current capacities as well as existing regulations and the responsible institutions and entities to be involved, and identify whether conditions are favourable for executing and implementing the project. Categories can also be established, e.g.: No administrative changes required / Changes to by-laws or municipal regulations required / Creation of institutions or management bodies required / Management by other entities or institutions required / Metropolitan coordination required.

4. Timeline and priority; short-medium-long with approximate number of years for each project.

◆ Steps

1. Consolidate information relevant to each of the projects that were defined in **Phase 2: Plan**
2. List the benefits that the project would be delivering according to different categories.
3. For each project listed, list which goals are being met in the plan developed in **Phase 2**.
4. Fill in **T44 Pre-feasibility Study Template** per each project

✦ References

- *Methodological Guide for the Operationalisation of Urban Projects (2018)*



▲
Participatory Workshop in Aluminé, Argentina, UN-Habitat

 **Objective**

Conduct a participatory exercise with key stakeholders to prioritise strategic projects.

 **Results**

- Participatory project prioritisation
- Mapping of responsibilities and co-responsibilities by project
- Catalytic and strategic projects list linked to Strategies and Initiatives from **Activity E21** in the **Strategic and Spatial Development Plan**.

 **Tools**

T45 Participatory Prioritisation Guide

 **Description**

This activity seeks to involve various key stakeholders to jointly prioritise the projects, it's also an opportunity to assign roles to each stakeholder, for each project. This is an important exercise to align and ensure sustainability and commitment in the implementation of the plan. The workshop should involve the advisory and steering committees, as well as other stakeholders responsible for implementing the projects and institutions, target groups and beneficiaries that would be directly or indirectly impacted or involved in the project. These can be representatives of various public bodies of the municipal and central governments. Before the workshop, the pre feasibility study can be shared with the participants so they can have an overview of the project lists and its pre feasibility.

First, the short list of projects and the information consolidated in the previous activity should be presented, which provides data that will inform the decision on the prioritisation of projects. Then, a methodology can be applied where a score from 0 - 5 is assigned to each project according to its contribution and alignment with the objectives and strategies of the plan (where 0 means no contribution and 5 means high contribution). An alternative exercise is to have a project sheet printed out and a panel with a horizontal axis where the left side is lower priority and the right side is higher priority. Participants should, in groups, agree to place the projects in order of priority. This ensures that there is a multi-stakeholder discussion to reach an agreement. Subsequently, the groups present their results and a debate is generated to reach a general consensus.

Next, the team must identify existing/ongoing initiatives, programmes, projects or instruments linked to each project. This exercise is important, in order to align and not duplicate resources, capacities and lessons, and create synergies between them. Then, the workshop participants propose which stakeholders will be in charge of the implementation of each project. For this purpose, a matrix can be printed out that includes the list of projects with two columns next to it: one to add the main responsible instance and the other one for co-responsible instance(s). The aim is to generate discussion, consensus and commitment of the parties involved; and to ensure the implementation and monitoring of projects. It is therefore important to facilitate the participation of all those present. It should be a momentum to reflect upon the effects and benefits that each project can have on the city and how it responds to the challenges identified in the diagnosis; as well as to visualise and foresee the process of execution and implementation of each project.

 **Steps**

1. Prepare the workshop and required materials using the **T7 Workshop Checklist** and **T45 Participatory Prioritisation Guide**.
2. Invite participants to prioritise the projects, either by assigning a score to each one or by placing them on a priority axis, from lowest to highest.
3. Each group will present their results and a discussion will take place with the results to reach a consensus.
4. Identify initiatives, projects and/or programmes that may be related to each project, whether led by the municipal or central government, civil society, academia, private sector, etc.
5. For each project, identify a lead and co-responsible body(ies), generating consensus and commitment from the actors involved.
6. Systematise the information (technical equipment) to be used as input for the next technical prioritisation activity, as the strategic projects list.

✦ References

- Methodological Guide for the Operationalisation of Urban Projects (2018)
- Prioritisation of urban projects



Objective

Determine the optimal order of implementation of strategic projects and planned actions, taking into account participatory prioritisation, available financial resources, preliminary technical assessment, and benefits and alignment with the plan's strategies.

Results

- Project portfolio (prioritised projects).

Tools

T46 [Project Prioritisation Template](#)

Description

This activity is carried out by the technical team and seeks to prioritise the list of projects based on the results obtained in the two previous activities. The prioritisation helps to determine which projects are the most strategic to implement, considering that their execution must address multiple challenges that the city faces, they must also respond to various objectives and strategies of the plan, as well as their feasibility.

As a starting point, the team should define the criteria, such as: prioritisation/participatory acceptance, plan objectives addressed, benefits (economic, social, environmental), institutional costs, financial costs, implementation time and technical feasibility. One way to evaluate such criteria can be with an Analytical Hierarchical Process (AHP), in which project alternatives are evaluated by assigning a numerical value (ideally no more than 5) to each criterion set. This ensures that they are all evaluated in the same way and can be compared. This exercise ultimately results in a ranking of projects, where those with the highest scores are given the highest priority.

Although the criteria for evaluating projects may be the same, the prioritisation process will ultimately be different for each city, according to the challenges, objectives and priorities faced. The benefits and impact that each project brings will have different values in different contexts. For example, an intermediate coastal city that constantly faces disaster and climate change risks will likely value a nature-based flood prevention solutions project more highly than a non-coastal metropolitan city.

After the exercise, the technical team adds up the score of each project and assigns a relative ranking to identify those that will make up the strategic project portfolio. Ideally, this will be made up of no more than 10 priority projects. This exercise can also be replicated to prioritise the initiatives the strategy framework.

Steps

1. Define the evaluation criteria for prioritisation, using the **T46 Project Prioritisation Template** as a guide.
2. Establish the numerical scale values for each criteria.
3. Evaluate all projects in the strategic projects list that resulted from the plan developed in **Phase 2 (Strategic Projects Workshop (Activity 23) or Land Strategies (Activity 26))** against the established criteria, assigning a score per criterion.
4. Add up the total score of each project and establish a relative ranking.
5. Define the list of final prioritised projects that make up the strategic project portfolio.

References

- [Methodological Guide for the Operationalisation of Urban Projects](#)
- [Phase 2. Prioritisation of projects based on metropolitan impact Methodologies - Metropolitan planning and management \(p. 88\)](#)
- [Project portfolio towards the vision of San Nicolás de los Garza 2030, Mexico \(p.54\)](#)
- [Project portfolio Ciudad Juárez Vision 2040](#)



Hawassa, Ethiopia, UN-Habitat

40

ACTIVITY

Economic Impact Analysis

1 Week ⓘ
Urban finance ⓘ

🎯 Objective

To analyse and assess how the expected project-related investments in certain economic sectors can ripple throughout other sectors, providing a comprehensive understanding of potential direct, indirect, and induced effects in the city's economy.

🛡️ Results

- A comprehensive report detailing the potential economic impacts of a project or initiative included in the plan
- Identification of key sectors that might be most affected
- Projection of employment and output effects related to the project

📄 Description

The Economic Impact Analysis (EIA) leverages the intricacies of the input-output tables that national authorities, bureaus and institutes of statistics tend to conduct regularly, revealing interrelationships within the national economy. It examines how activities in one sector affect other sectors, both as suppliers (input) and consumers (output). Given the interrelated nature of economic affairs, an injection (or withdrawal) of capital in, let's say, the construction sector will also impact directly (hiring employees and buying materials) and indirectly (generating income in its suppliers) other sectors such as financial and insurance activities, information and communication, or electricity, gas, steam and air conditioning supply. Therefore, this tool will assist municipalities in understanding the broader implications of the implementation of the strategic projects and initiatives included in the plan, providing them with data-driven insights to make informed decisions.

The process encompasses the use of various matrices such as the Intermediate demand matrix, Final demand matrix, Value-added matrix, and Production matrix. It also utilises foundational elements like the Leontief and Identity matrices to derive the Leontief inverse, which then helps in calculating the multipliers, the coefficients that capture the impact an investment will have in the overall economy. The purpose of this process is to understand how the investment on the strategic project and initiatives can bring economic benefits to other sectors as well, creating an economic ripple effect.

By understanding these interrelationships and the potential multipliers, city planners and decision-makers can anticipate how projects may stimulate (or detract from) local economic activity, guiding them in making more strategically sound decisions, and preparing them better to present compelling project proposals to higher-level authorities or to potential donors and partners.

Note: The tools for this activity are currently under development and will include a comprehensive template and advanced analytical tools to facilitate a more user-friendly and efficient economic impact analysis process.

📋 Steps

1. Gather and analyse the existing input-output table (suppliers (input) and consumers (output)) for the relevant region or municipality.
2. Define the project or initiative's economic input (e.g., the amount of investment or withdrawal).
3. Utilise the Leontief Matrix to determine direct proportional relationships among various sectors.
4. Apply the Identity Matrix and calculate the Leontief inverse to understand the cumulative effects.
5. Derive multipliers to estimate the broader economic impact of the proposed change in spending or investment.
6. Interpret the results and draft a comprehensive EIA report, detailing potential economic benefits, job creation, and other relevant impacts from the plan's implementation
7. Present findings to stakeholders and incorporate feedback.

✦ References

- [Input-Output Analysis: Foundations and Extensions](#)
- [Encyclopedia of Social Measurement](#)
- [A Primer in Economic Multipliers and Impact Analysis Using Input-Output Models](#)
- [Supply, Use and Input-Output Tables](#)
- [A Guide to Input-Output Model Multipliers \(Part 1\)](#)
- [Handbook on Supply and Use Tables and Input-Output-Tables with Extensions and Applications](#)
- [Guidelines on Impact Assessment for EU Lamfalussy Level 3](#)
- [Economic Impact Assessment: An Overview](#)
- [An Introduction to Economic Impact Assessment](#)
- [Saudi Vision 2030 Dynamic Input-Output Table: A Tool for Quantifying the Sustainable Development Targets of Saudi Arabia](#)



Objective

Develop the necessary information for the implementation of strategic projects, in terms of technical approach and feasibility.

Results

- Strategic project fact sheets, which include key information for the development of the project

Tools

T47 [Strategic Project Sheet Template](#)

Description

This activity is based on the pre-feasibility study carried out in the **Project Preparation (Activity 37)**. It involves the elaboration of technical and economic studies that go in depth on each of the projects that make up the project portfolio. This means that only for those projects, from the predefined list in E23, that have a high level of certainty in terms of execution will have the studies mentioned.

The sheet expands in detail on the project's strategy and technical solution, as well as its more specific components and activities. It also elaborates on its objectives and benefits in terms of technical, social, economic, environmental, climate change mitigation or adaptation and specifies costs. It also includes a cost-benefit analysis, which is carried out to ensure that the project is feasible. In case the costs are higher than the benefits, the project will have to be adjusted or reconsidered. However, it is quite possible that this can be avoided by following the above steps of project preparation and prioritisation.

Using the **T47 Strategic Project Sheet Template** as a guide, all information is captured in a technical sheet template for each strategic project, including also its location, alignment with objectives and strategies, responsible and co-responsible bodies, beneficiaries, linkage with existing initiatives, conceptual design or target image, and additional requirements

Steps

1. Review the consolidated information relevant to each of the projects that were defined in **Project Preparation (Activity 37)**.
2. Review the information required to prepare the project sheet and consolidate the information you already have from previous activities. Use the **T47 Strategic Project Sheet Template** as a guide.
3. Define the specific objectives of each project in technical, social, economic and environmental/climate change terms.
4. Develop the project strategy, its components and, if possible, the activities involved.
5. Develop the conceptual design of the project if possible, to better detail its components and spatial characteristics. This information can have different levels of detail depending on the resources available, from a schematic plan, a target image, to a preliminary technical dossier (pre-project).
6. Identify whether any additional requirements are necessary for the implementation of the project (e.g. an environmental impact study, the formation of a committee, etc.).
7. Determine project costs from a more detailed budget, considering technical requirements and components.
8. Carry out a cost-benefit analysis.
9. Consolidate each project's information in a strategic project sheet.

References

- [Methodological Guide for the Operationalisation of Urban Projects \(2018\)](#)
- [San Nicolás de los Garza 2030 Strategic Project Portfolio \(p. 68\)](#)
- [Nichupté Bridge Master Plan \(p. 288\)](#)
- [Equity Park Master Plan \(p. 381\)](#)



Bolama, Guinea-Bissau, UN-Habitat

🎯 Objective

Workshop to present and validate the results from the prioritisation and programming of projects with different stakeholders

🛡️ Results

- Validation of project programming
- Receive feedback from experts and key stakeholders to consolidate the strategic project portfolio

📎 Tools

- T7 [Workshop Checklist](#)
- T41 [Citizen Engagement Guide](#)

📄 Description

This activity is composed of two moments, the first will be a full-day internal collaborative validation session. The second moment should be customised in terms of format and timing; it should cater to different segments of the general public -without losing sight of each project's vision, strategies and objectives. It will also depend on the type of role or level of participation desired from the general public.

The internal validation session is a workshop format with the various stakeholders who were part of the **Participatory Prioritisation Workshop (Activity 38)**. This exercise aims to reinforce the collaborative process between the parties involved, resulting in ownership of the plan by all stakeholders, making them "champions" of the strategic project portfolio. The objective of this session is also to ensure that the expectations of the process, outcome and impact of each project are aligned among the different stakeholders. If necessary, the session can be extended to two days, depending on the complexity of the context, the time availability of the participants and the capacity of the technical team.

Using the **T7 Workshop Checklist** as a guide, the team will lead the workshop session. This should consist of a detailed presentation of the prioritised project portfolio. Then, the team will confirm with everyone whether the process, outcome and impact expectations of each project are met. Finally, for each project, the responsible and co-responsible entities will be verified.

In the second moment, the team will use the **T41 Citizen Engagement Guide**, and use this activity as an opportunity for different civil society groups to be strategic stakeholders or better yet, Champions of one or several projects. This requires socialisation, consultation and involvement. At this point, it is very important for the team to be open to possible differences of opinion regarding the process, outcome and impact of each project. It is very important from this point onwards to maintain assertive communication and to manage the expectations of those who will be impacted by one or more projects.

As with the stakeholders, for each project the team should identify which civil society groups can be Champions of specific projects or of the project portfolio in general. These groups should be aware of the implementation process and even assume certain responsibilities for the effective implementation of the project portfolio.

Consideration: It may be the case in some cities where a process of validation and consultation with neighbours is required by law. However, it is considered appropriate in those cities where it is not a requirement of the planning process to make the effort to carry out one of the three components of the guide (socialise, consult or validate).

Steps

Moment 1

1. Prepare the workshop and required materials using the **T7 Workshop Checklist**.
2. Invite participants to validate the project portfolio (process, outcome and impact) and validate expectations.
3. Facilitate a discussion with the results to reach a consensus.
For each project, verify the main responsible actor and other proposed co-responsible entities, generating consensus and
4. commitment of the actors involved.
5. Systematise information (technical team).

Moment 2 (Plan to present results to civil society)

1. Determine the content that requires validation and all information that will give context to what will be validated in this activity.
2. Using **T41 Citizen Engagement Guide** and the results of **T13 Participation Plan Guide**, determine the activities that are best suited
3. to the content to be presented.
Convene as outlined in the **Communication Strategy (Activity 10)** and the database collected from the **Public Launch of the Planning Process (Activity 11)**.
4. Carry out the activities set out in step 2.
5. Document the results of the activities in a report.
6. Remind participants of the next activities and next steps.
7. If necessary, share the team's contact information with the new stakeholders involved.
8. Review inputs and incorporate them into the Strategic Development and Spatial Plan.



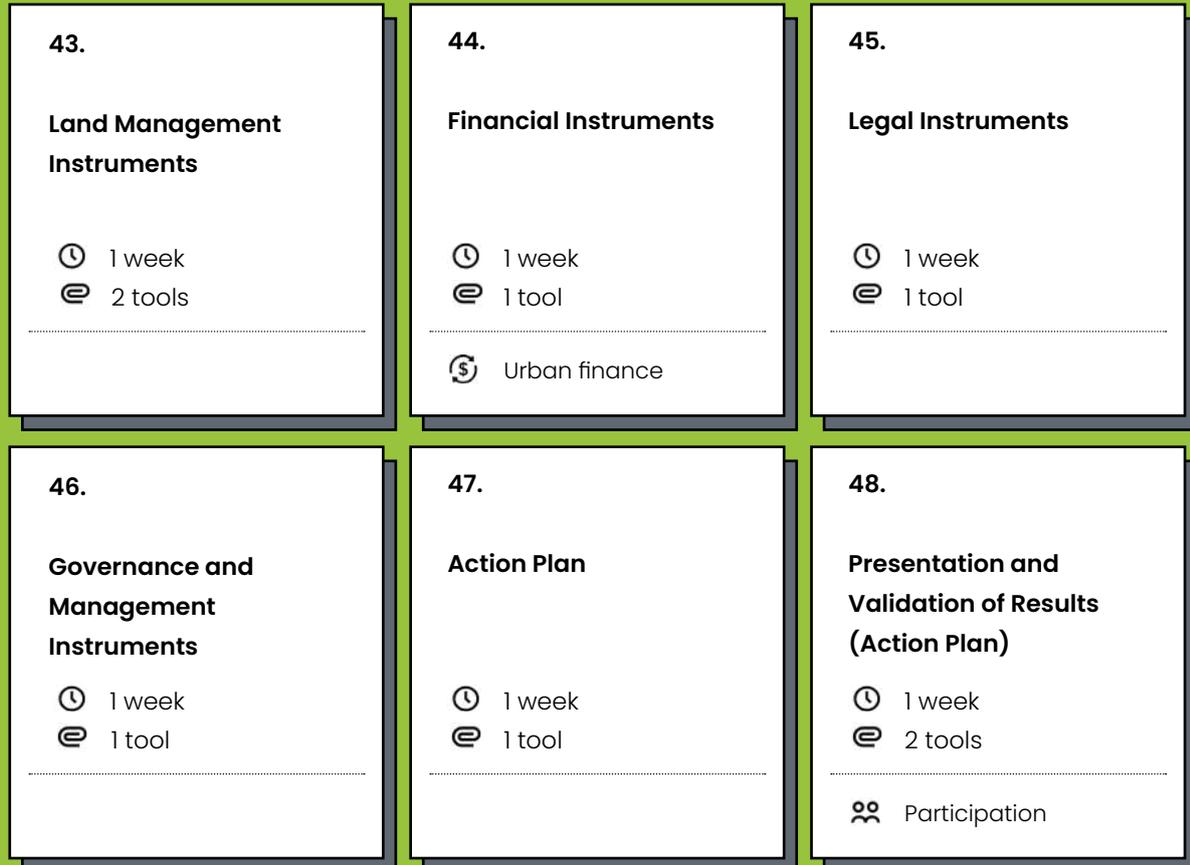


I Instruments



BLOCK

The objective of this block is to propose an action plan for the strategic project portfolio defined in the Project Programming block and the initiatives defined in the Strategic Development and Spatial Plan block. This plan will contain the land management, regulatory, financial and governance instruments that the team will determine, considering the institutional capacities of local and metropolitan governance bodies to operate and manage them.



43

ACTIVITY

Land Management Instruments

1 Week 

Objective

Make a proposal for land management instruments for the strategic project portfolio and/or initiatives linked to the goals and strategies.

Results

- Land tenure mapping
- Proposed land management instruments

Tools

T48 [Land Tenure Typologies Guide](#)

T49 [Land Management Instruments Guide](#)

Description

The purpose of this activity is to evaluate and analyse the existing land use regulation and management system in terms of information on land parcels, rights and tenure. Based on the analysis of the land use management system, we proceed to define the land management instruments that will allow the mobilisation and valorisation of land, as a result of public investment and regulations that will increase the possibility of having better urban financing.

What is land tenure?

Land tenure is the relationship between people and land. Each country establishes land tenure legislation to define how land rights are allocated and administered. They also define how access, rights of use, control and transfer land is granted, as well as the associated responsibilities and restrictions. In simple terms, land tenure systems determine who can use which resources, for how long and under what conditions.

Land tenure is an important part of social, political and economic structures. It is multidimensional and brings into play social, technical, economic, institutional, legal and political aspects that are often overlooked but need to be taken into account. Land tenure relations may be well defined and enforced in a formal court of law or through customary structures in a community. Alternatively, they may be ill-defined, ambiguous and open to exploitation.

What are land management instruments?

Land management instruments are those that facilitate land use planning by handling aspects linked to the exercise of planning, establishing financing and facilitating actions in the physical space. Within the process of land use and urban planning that municipal authorities deal with when defining uses and intensities, together with facilities and infrastructure that have an impact on the generation of capital gains, the legal framework sets out a series of land management instruments that can facilitate actions and their financing in the physical space.

A number of land management instruments are available within the different scales of legislation (national, regional and municipal laws) which should be chosen according to their degree of feasibility and compatibility with the proposed strategy, the secondary zoning and the previously established initiatives and projects and which, if necessary, will be complemented by specific regulations.

With this in mind, this activity begins with a proper understanding of the current situation of the land in the city if there is any instrument for managing, regulating and optimising land development and the spatial organisation of improvements and uses of land.

With a clear understanding of the system in place, the next step is to map the current land tenure situation of the **Development Zones (Activity 21)**. It should also be considered, if necessary, to do this land tenure mapping in those areas where projects from the strategic project portfolio are located, which require land for their implementation. The intention of mapping at the zone or sub-zone scale allows the technical team to obtain results on the legal status of each property within a reasonable period of time. Progressively, the city will have a better understanding of the current land tenure situation at the city scale each time it proposes new partial plans or neighbourhood plans. The team will use the **T48 Land Tenure Typologies Guide** for the classification and mapping for both formal and informal land.

Once there is an understanding of the legal situation of the land that is part of the area of interest (i.e. sector plan, neighbourhood plan or portfolio of strategic projects) the team can start with the process of formulating a proposal for land management instruments, applicable to the municipality and the context of the project. This proposal of instruments should be made using the results of: **Formulation of Strategies and Initiatives (Activity 22)**, the strategic project portfolio **Development of Strategic Project Sheets (Activity 41)** and/or the projects of the **Land Management Plan (Block F)**.

The land management instruments, that will allow the fulfilment of the city's strategy and vision, should take in consideration the reality of the municipality in its urban and rural areas; particularly in the specific areas or sector where the projects will be implemented in. The technical team will define the management instruments compatible to the context of the urban area and applicable to the municipality using the **T49 Land Management Instruments Guide**.

Steps

1. Identify the strategic development areas identified in the **Development Zones (Activity 21)**, and the projects in the strategic project portfolio
Map the legality of the land contained within these plans and projects using the **T48 Land Tenure Typologies Guide**.
3. Review the results of **Formulation of Strategies and Initiatives (Activity 22)**, the strategic project portfolio **Development of Strategic Project Sheets (Activity 41)** and/or the projects of the **Land Management Plan (Block F)**.
5. Make a proposal for land management tools for the strategic project portfolio and/or initiatives identified in Phase 2; using the **T49 Land Management Instruments Guide**.

References

- [Innovative Land and Property Taxation \(2011\)](#)
- [Secure land rights for all](#)
- [Land Professionals in the Arab region: roles, capacities and contribution to land governance and land tenure security](#)
- [Sustainable peace through women's empowerment and access to housing, land and property rights](#)
- [Framework for assessing continuing land rights scenarios](#)
- [Tenure-focused land use planning](#)
- [Eviction Impact Assessment Handbook](#)
- [Methodological Guide for the Operationalisation of Urban Projects \(2018\)](#)
- [Framework for the Costing and Financing of Land Administration Services](#)
- [Participatory and Inclusive Land Readjustment \(PILaR\)](#)
- [Soil and natural disasters](#)

44 Financial Instruments

1 Week 
Urban finance 

ACTIVITY

Objective

Make a proposal of financial instruments for the strategic project portfolio and initiatives identified in the plan.

Results

- Proposed financial instruments for the Strategic Project Portfolio and initiatives identified in Phase 2

Tools

T50 [Financial Instruments Guide](#)

Description

This activity seeks to provide alternatives that substitute or complement the resources coming from the municipal budget, understanding that transfers from the central government and the ordinary local budget are not sufficient. The New Urban Agenda promotes the collection of local governments' own revenues in order to contribute to fiscal decentralisation and the expansion of revenue sources (UN-Habitat, 2020; UN-Habitat, 2021). It should be emphasised that the expansion of revenue sources requires greater coordination and cooperation between levels of government and sectors.

Using as a basis the strategic project portfolio (**Development of Strategic Project Sheets (Activity 41)**), and/or initiatives identified in **Block E (Formulation of Strategies and Initiatives (Activity 22))** or **Block F (Land Strategies (Activity 26))** and the results of the **Financial Resources Review (Activity 3)**, the team should identify and propose the mechanisms for financing urban development in order to achieve the mobilisation and capture of land value; allowing self-financing under the principle of those who benefit the most contributing the most to pay for it. The financial instruments should integrate the procedure to be followed in accordance with municipal and central legislation so that the planning instrument developed acquires legal certainty or validity.

The team will use the **T50 Financial Instruments Guide** which will give the technical team a better understanding of the different sources of funding, considering the following strands:

Own income

The urban financing mechanisms that are considered in central and local laws, seeking to ground them in the strategy and reality of the municipality.

External sources of funding that do not depend on the budget or municipal revenues, and which are via borrowing, central government and non-governmental organisation funding, private participation, etc.

With the categorisation of financial instruments, the team will be able to learn about entities that can provide technical assistance and/or funds for such instruments in order to make a proposal of financial instruments for each prioritised project of the strategic project portfolio, according to the objectives of the municipality and what is allowed in its national and municipal legislation. The team will finally be able to select those that best suit its context, as well as propose and develop additional financial instruments to be considered.

Steps

1. Review the fact sheets of the **Development of Strategic Project Sheets (Activity 41)**.
2. Review the initiatives that were established in the **Formulation of Strategies and Initiatives (Activity 22)** (if Block E was developed) or **Land Strategies (Activity 26)** (if Block F was developed).
3. Considering the strategic project portfolio and the initiatives, identify the financial instruments that may be useful, using the table in the **T50 Financial Instruments Guide**.

✦ References

- Finance for City Leaders Handbook (2017)
- Rethinking City Revenue and Finance (2022)
- Land and Property Taxes (2011)
- Value Capture and Land Policies (2012)
- Innovative Land and Property Taxation (2011)
- Rapid Financial Assessment for Planned City Expansion (PCE)
- UIIF Urban Infrastructure Insurance Facility
- Leveraging Land: Land-based Finance for Local Governments - A Reader (2016)
- Financing Sustainable Urban Development (2021)
- PPP Reference Guide 3.0
- Public-Private Partnership Handbook (2008)
- Methodological Guide for the Operationalisation of Urban Projects (2018)
- Climate Finance Reports and Tools



45 Legal Instruments

1 Week ⓘ

ACTIVITY

🎯 Objective

Identify the necessary amendments to laws at different levels of government, and existing regulations at the national level, that will enable the implementation of the plan. Similarly, this activity aims to identify any complementary legislation and/or legal instruments that will need to be developed and brought into force to enable the implementation of the plan.

🛡️ Results

- Identification of improvements to the existing regulatory framework.
- Proposals for complementary legislation

📎 Tools

T51 [Regulatory Instruments Guide](#)

📘 Description

Land development requires regulatory frameworks and legal principles to support urban planning and design initiatives. Urban legislation is often one of the biggest obstacles to decision-making, as many urban legal systems – laws and regulations – are out of step with the prevailing urban reality (UN-Habitat, 2012). In this sense, well-formulated, evidence-based urban legislation in line with urban plans and projects is necessary for the implementation of policies and programmes aimed at sustainable urbanisation.

Naturally, the instruments will determine clear rules to establish the implementation of the plan, and should therefore be contemplated in the national or municipal legal framework. If this is not the case, as a complement to the proposal for land management, financing and governance instruments, the necessary adaptations, modifications or updates to legislation should be proposed to guarantee the feasibility of their implementation, within a coherent legal framework.

Thus, changes in legislation that are considered relevant, such as criminal and administrative sanctions for those who contravene the instrument in any way, or particular rules to achieve land mobilisation and capital gains capture, should be raised in this activity, together with the case that the legislation does not allow its implementation in accordance with the project that has been proposed.

For this activity, the team should carry out two components. The first is the identification of improvements to the regulatory framework. This involves identifying the strengths and weaknesses that exist in laws, regulations, and norms at the national and municipal levels, in order to establish regulatory frameworks that allow for the application of the financial and management instruments and projects previously identified. The second component consists of making a proposal for complementary regulations in which the team proposes particular rules to complement or replace existing management instruments.

As a starting point, the technical team will identify gaps in current regulations. This involves conducting a comprehensive review of the existing legal framework, identifying areas for improvement at national, regional and municipal levels. It will use the results of the **Legal Framework Review (Activity 2)**. The objective here is to identify gaps in critical areas such as demographics, access to housing, access to services, urban precariousness, risk to natural phenomena, informal settlements, among others.

In addition, the laws and/or regulations to be developed, improved, adapted or adjusted in the context of the strategic project portfolio (**Development of Strategic Project Sheets (Activity 41)**), and initiatives identified in the plan developed in Phase 2. For this, the team will list the policy instruments to be modified, and detail the area of improvement in each.

Finally, as part of the proposal for complementary standards, the team will develop an approach for particular standards to complement or replace existing management instruments, according to categories of scope, impact and feasibility in the context of the strategies and initiatives, as well as the strategic project portfolio.

In addition, lessons that were learned during the planning process can generate a list of recommendations and best practices that will support and facilitate the development of other plans within the country. This will improve the new plans and also unblock some of the challenges faced in previous experiences.

◆ Steps

1. Identify gaps in existing regulations, using the **Legal Framework Review (Activity 2)**.
2. Use the **T51 Regulatory Instruments Guide** to identify gaps in laws and regulations to be improved that apply to the strategies and initiatives, and to the strategic project portfolio.
3. In the context of the prioritised projects and initiatives, develop an approach for particular rules to complement or replace existing management instruments, according to the categories of scope, impact and feasibility.

✦ References

- [Framework for the assessment of the Urban Planning Regulations](#)
- [Climate Change Legal Tools](#)



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Hanoi, Vietnam, UN-Habitat

Objective

This section will propose a governance model for the plan and for each of the prioritised projects. To this end, an organogram for the plan implementation will be developed and the different actors or managers of each project will be identified in order to then propose the governance model based on collaboration between actors.

Results

- Proposed organogram for the plan
- Proposed management model for the prioritised strategic p

Tools

T52 [Governance Instruments Guide](#)

Description

The implementation of urban plans, as well as the various financial and management mechanisms required, demand greater coordination and cooperation between levels of government and sectors. It is therefore necessary to establish an urban governance structure designed to ensure accountability, transparency, responsiveness, rule of law, stability, equity, inclusiveness, empowerment and pluralistic participation (UN-Habitat, 2020; UN-Habitat, 2021).

In order for management and governance to be aligned with the plan, the team must take into account the strategic project portfolio (**Development of Strategic Project Sheets (Activity 41)**) and the strategies and initiatives developed in the plan during Phase 2.

The institutional strengthening and reinforcing the governance structure of the plan, which involves reinforcing its human, material, financial and autonomy, is important to ensure an inter institutional coordination and memory to guarantee their adequate implementation.

An organogram of the current institutional framework is necessary in order to analyse if there is any overlap of responsibilities between different institutions and the existence of various project-specific institutions and offices. An articulated and negotiated review of an organogram will be jointly developed presenting the responsibilities of the institutions acting in the territory and their role in the planning process and its implementation.

In order to determine the governance instruments, the team will use the results of **T12 Stakeholders' Mapping** as a basis. Then, using the **T52 Governance Instruments Guide**, the team will be able to determine both the systems of action for the project portfolio and the initiatives, as well as the responsible entities and management mechanisms.

The management instruments allow for concentration between different areas of the public sector or between the public and private sectors for the development of the strategic project portfolio and thus the actions contemplated in the plan.

Steps

1. Review the initiatives that were established in the **Formulation of Strategies and Initiatives (Activity 22)** (if Block E was developed) or **Land Strategies (Activity 26)** (if Block F was developed).
2. Review the results of **T12 Stakeholders' Mapping** and then develop an organogram of the current institutional framework and their role in the plan's implementation.
3. Identify institutions responsible and co-responsible for the initiatives.
4. Review the results of the **Development of Strategic Project Sheets (Activity 41)** which includes the bodies responsible and co-responsible for implementation.
5. Use the **T52 Governance Instruments Guide** to propose a management model for the strategic project portfolio and initiatives.

✦ References

- A Guide to Developing Collaborative Partnerships in Civil Society
- Governance Assessment Framework for Metropolitan, Territorial and Regional Management-
- Collaborative Map
- RACI Matrix



▲
San Nicolas de los Garza, Mexico, UN-Habitat

47

Action Plan

1 Week 

ACTIVITY

Objective

Review and present all instrument proposals for priority projects with stakeholders in order to find alliances, but also to obtain external and expert opinions. Consolidate the final Action Plan Matrix, which consists of a roadmap defining responsibilities, priorities, funding, management and regulatory mechanisms.

Results

- Final Action Plan Matrix

Tools

T53 [Action Plan Matrix](#)

Description

The action plan is a planning tool that will facilitate the implementation of the programmes and projects that make up the Plan. It also integrates the allocation of the necessary management, financing and regulatory mechanisms for the implementation of the actions and projects. All of this is consolidated in a matrix that aims to provide decision-makers with a clear and concise roadmap on how to implement each strategic project of the strategic project portfolio and initiatives established in the plan during Phase 2.

The components included in the matrix take as a starting point the results of the **Land Management Instruments (Activity 43)**, **Financial Instruments (Activity 44)**, **Legal Instruments (Activity 45)** and **Governance and Management Instruments (Activity 46)**.

Once the matrix is in place, the team will be able to find partnerships, establish councils and commissions for the implementation of each priority project.

Steps

1. Review the above activities and complete matrix **T53 Action Plan Matrix** for each priority project.
2. Sharing, validating with key stakeholders involved and finding partnerships to achieve the concretisation of instruments and
3. projects according to the action plan.

References

- Nichupté Bridge Master Plan (p. 535)
- Equity Park Master Plan (p. 186)
- Ciudad Juarez City Vision

Objective

Workshop to gather input from the different actors involved regarding the instruments that will operationalise the project portfolio.

Results

- Validation of the Action Plan.

Tools

T7 [Workshop Checklist](#)

T41 [Citizen Engagement Guide](#)

Description

The presentation and validation of the Action Plan will be a workshop with the different actors and teams that were part of the formulation of the **Block I Instruments**. This exercise seeks to reinforce the collaborative process between the parties involved, achieving as a result an appropriation of the plan by all those involved, going from being "actors" to "promoters" of the Action Plan. The objective of this session is also to ensure that the responsibility and co-responsibility, system of action, timeline, financial, regulatory and land management instruments of each project are aligned among the different stakeholders. If necessary, the session can be extended to two days, depending on the complexity of the context, the time availability of the participants and the capacity of the technical team.

Using the **T41 Development of Strategic Project Sheets** and **T7 Workshop Checklist** as a guide, the team will lead the workshop session. This should consist of a detailed presentation of the action plan matrix. Then, the team will confirm with everyone whether responsibility and co-responsibility, system of action, timeline, financial, regulatory and land management instruments of each project are met.

Once this validation is in place, the team together with the project responsables and co-responsibles can go to different entities to find partnerships, establish committees for the implementation of each priority project.

Consideration: It may be the case in some cities where a process of validation and consultation with neighbours is required by law. However, in those cities where it is not a requirement of the planning process, it is considered appropriate to make the effort to carry out one of the three components of the guide (socialise, consult or validate).

Steps

1. Design the session and required materials using the **T41 Citizen Engagement Guide** and **T7 Workshop Checklist**.
2. Invite participants to validate the action plan matrix and validate expectations.
3. Facilitate a discussion with the results to reach a consensus.
4. For each project, rectify the main responsible institution and other proposed co-responsible institution(s), generating consensus and commitment of the actors involved.
5. Systematise the information (technical team).

J

J Monitoring and Evaluation

BLOCK



This block aims to develop a monitoring and evaluation framework for the plan's strategies and initiatives, as well as for the strategic projects that make up the portfolio. It is elaborated on the basis of a matrix of indicators and a monitoring strategy, which also includes the bodies responsible for data collection, monitoring period, methodology, etc.

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|---|---|
| <p>49.</p> <p>Monitoring and Evaluation Framework</p> <p> 3 weeks</p> <p> 3 tools</p> <hr/> | <p>50.</p> <p>Monitoring and Evaluation Strategy</p> <p> 1 week</p> <p> 1 tool</p> <hr/> <p> Participation</p> |
|---|---|

49

ACTIVITY

Monitoring and Evaluation Framework

3 Weeks 

Objective

Develop a framework to monitor and evaluate the progress of the Plan, the localisation and impact of the SDGs at city level and the local implementation of the New Urban Agenda.

Results

- List of targets and key performance indicators for the established initiatives
- List of goals and

Tools

T26 [Thematic Issues Checklist](#)

T54 [Monitoring and Evaluation Framework](#)

T55 [Indicator Summary Matrix](#)

Description

In this activity, a monitoring and evaluation framework is defined to assess the fulfillment and results of the plan. To this end, specific targets and indicators must be defined to monitor the goals set for each initiative established in the plan (**Block E Strategic Development Plan** or **Block F Land Management Plan**). Indicators should also be defined to assess the implementation of the strategic project portfolio (**Development of Strategic Project Sheets (Activity 41)**).

International agendas and frameworks, such as SDG indicators; national strategies, such as monitoring and evaluation frameworks for NDCs (Nationally Determined Contributions) and NAPs (National Adaptation Plans) and the Voluntary National Assessment of the SDGs, if available, should be consulted for linkages with these.

First, the targets defined for each initiative in the framework of strategies and initiatives should be reviewed and complemented. These should be clear, coherent, specific, measurable, with a defined timeframe (e.g. in ten years) and it should be clear whether an upward or downward trend is sought for each one. The municipal context should also be taken into account, such as the municipality's constraints and capacity to both meet and measure the targets. Then, for each target, an indicator should be determined with its unit of measurement, the methodology to assess it, the baseline, the monitoring period, the expected trend, the specific scale or location where it will be assessed, and the institution in charge of data collection linked to the indicator.

Monitoring indicators should then be determined for the strategic project goals defined in **Project Programming Block H (Review Development of Strategic Project Sheets (Activity 41))**. These should be specific to the different types of objectives (technical, social, environmental and climate change, sustainability, etc.). Each should indicate units of measurement (e.g. minutes, square metres, number of people, etc.).

Steps

1. Review the goals set out in the framework of goals, strategies and initiatives and adjust them to make them feasible according to the municipality's capacities. Define specific targets for an established time frame if this has not been done before.
2. Review and link targets with those set out in the 2030 Agenda and the NUA, to align the plan's goals with global agendas.
3. Define indicators for each target, as well as their unit of measurement, the methodology for assessing them and the specific area or sector to be assessed (**T54 Monitoring and Evaluation Framework**).
Review global indicators: **Global SDG Indicator Framework**, **New Urban Agenda (NUA) Indicator Framework**, **Urban Monitoring Framework (UMF)**, **City Prosperity Index (CPI)**
4. Determine for each indicator: its unit of measurement, the source from which it has been obtained, the institution in charge of collecting the data, the methodology for measuring it, the scale or area where it will be evaluated, the baseline, the monitoring
5. period and the expected trend.
For strategic projects, review the specific objectives set out in the project sheet and define an indicator for each one.
6. Consolidate the matrix of indicators for both initiatives and strategic projects (**T55 Indicator Summary Matrix**).

✦ References

- Sustainable Development Goals Indicators and Monitoring Framework
- Manual for the Preparation of Voluntary National Reviews
- Bissau 2030 Sustainable Development Plan: City Prosperity Initiative
- Prosperous Cities Index (Mexico)
- New Urban Agenda Monitoring Framework
- Global Urban Monitoring Framework
- Next steps under the Paris Agreement and the Katowice Climate Package
- Project SDG Assessment Tool
- San Nicolas de los Garza Vision 2030 (pg. 214)
- Ciudad Juarez City Vision (pg. 176)



Objective

Develop a strategy for monitoring and evaluation of the plan.

Results

- Roadmap for monitoring and evaluation of strategies and initiatives, and strategic projects

Tools

T54 [Monitoring and Evaluation Framework](#)

Description

Once the monitoring and evaluation framework has been defined, including the matrix of indicators for the initiatives and strategic projects, it is necessary to establish a strategy to follow up on the plan. This includes establishing responsible bodies, as well as participation and socialisation mechanisms that involve citizens.

The indicator matrix defines which body will be responsible for data collection for each indicator. However, from this, the institution or body responsible for monitoring the whole plan and its indicators as a whole should be determined. This may also include the formation of a new body, such as a citizen observatory. Depending on the monitoring period established, a roadmap is drawn up for follow-up.

In addition, other groups from civil society and academia should be identified to monitor the progress of the plan, such as NGOs, civil organisations, observatories, community groups, research groups, or any group that represents the people who benefit from the plan's actions and projects.

Finally, the strategy should also contemplate communication and citizen participation mechanisms to report on the progress of the plan. This will help citizens to be involved and thus be able to follow up and demand accountability and responsibility in the implementation of the initiatives and strategic projects.

Steps

1. Define bodies, areas or institutions in charge of monitoring and strategy to carry it out, based on the indicator matrix developed in the previous activity (**T54 Monitoring and Evaluation Framework**).
2. Develop a roadmap for tracking indicators within the monitoring and evaluation framework.
3. Identify social stakeholders to collaborate in the monitoring and follow-up of the plan.
4. Define a communication strategy, socialisation and participation mechanisms for monitoring and evaluation.

References

- [Sustainable Development Goals Indicators and Monitoring Framework](#)
- [Manual for the Preparation of Voluntary National Reviews](#)
- [Bissau 2030 Sustainable Development Plan: City Prosperity Initiative](#)
- [Prosperous Cities Index \(Mexico\)](#)
- [New Urban Agenda Monitoring Framework](#)
- [Global Urban Monitoring Framework](#)
- [Next steps under the Paris Agreement and the Katowice Climate Package](#)
- [Project SDG Assessment Tool](#)
- [Principe 2030](#)



Bahir Dar, Ethiopia, UN-Habitat

IMPLEMENTATION
TATION

MEN-

N

04

BLOCK K. IMPLEMENTING MECHANISMS



BLOCK L. FOLLOW-UP STRATEGY



How are the projects and the plan implemented?

Once the plan is developed, it must be approved and adopted as a legally binding document. From there, the implementation phase aims to put in place all the necessary mechanisms to execute the strategic actions and projects of the plan, as well as to guide future urban development. This includes the management and mobilisation of resources for the implementation of the strategic projects, as well as the plan's monitoring strategy to evaluate the plan, communicate progress, and reflect on the incremental improvements in the planning process.

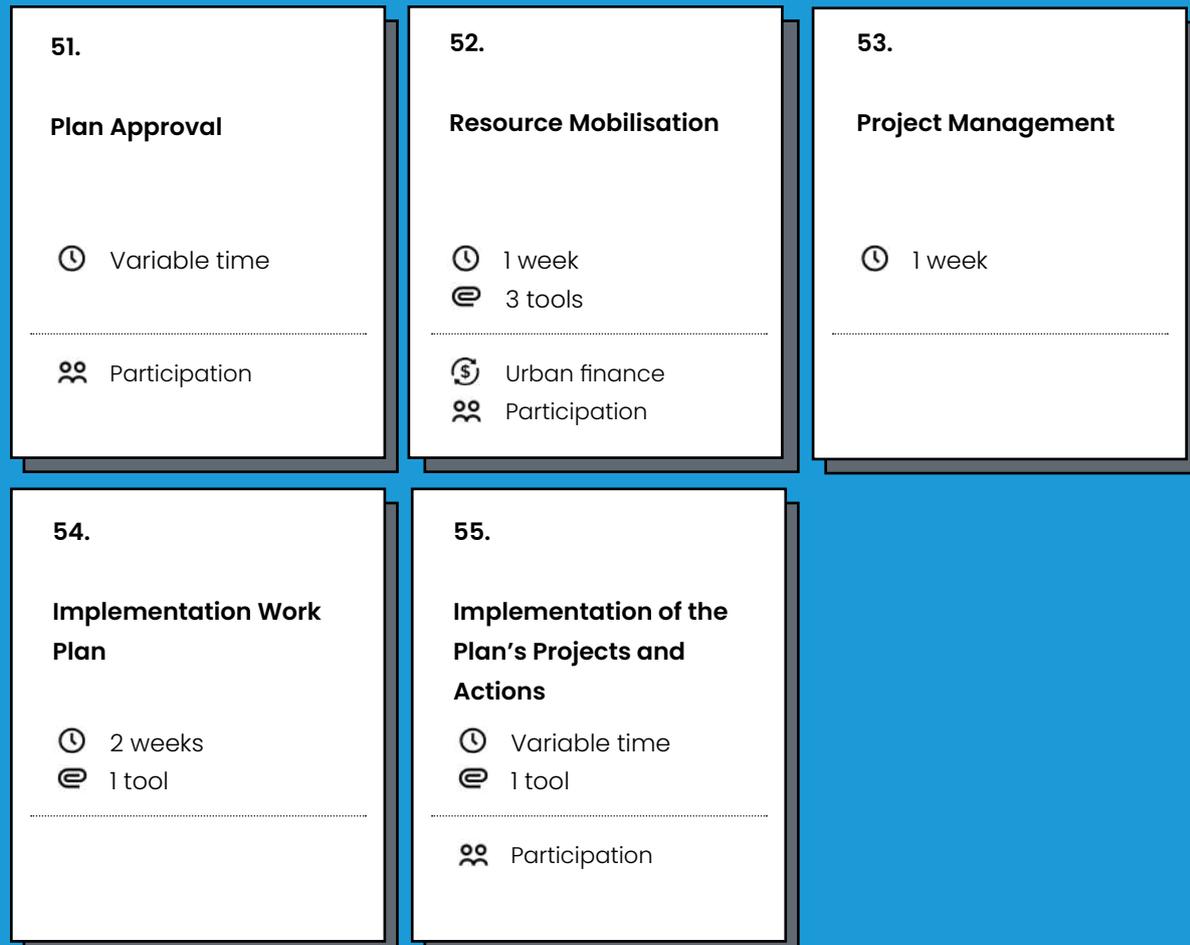
K

K Implementation Mechanisms

BLOCK



The Implementation Mechanisms Block aims to have the plan approved by the responsible government authorities, and to ensure that there is a clear and coordinated process and work plan for the implementation of the plan, including investment and resource mobilisation.



51 Plan Approval

ACTIVITY

Variable time 

Participation 

Objective

Get the plan approved by the responsible government authorities, in accordance with local legal and administrative requirements.

Results

- Modifications according to local legal, regulatory and administrative requirements.
- Approval of the plan (permission granted by the government)

Description

This activity starts the last phase of the methodology, Phase 4. Implementation, and aims at carrying out all the tasks necessary for the approval of the plan by the competent governmental authorities.

The approval of the plan is the start of the implementation of everything that has been planned, and is therefore of great importance. This activity will be carried out by the technical team and will need to focus all efforts on getting the plan accepted as valid by the competent government entity and moving forward. This may include public consultation, internal approval and approval by the council or government entity of the municipality. In turn, given the many local specificities that will depend on the context, the timing of this activity will depend on local timelines and procedures.

In order to achieve approval, the technical team will need to review the necessary regulatory and administrative requirements of the competent authority. These requirements will vary depending on the context and country, as explained in the **Legal Framework Review (Activity 2)**. It is therefore necessary to conduct a review of these requirements and then make any necessary adjustments and modifications to bring the plan in line with them. In this way, once all the necessary adjustments have been made, the plan will be ready and there should be no controllable impediment to its approval.

It should be noted that depending on the context this process may have different stages and requirements. It is therefore proposed that a prior exercise of review and understanding of all the procedures necessary for the approval of the plan be carried out. Thus, it will be important for the technical team to understand and be aware of the steps, functions and deliverables at each stage of the approval process, as these will vary according to the context.

Once all the necessary revisions have been made, the plan is submitted to the relevant authorities according to the context for approval, acceptance and implementation, thus beginning the implementation phase of the urban planning process.

Steps

1. Review all regulatory and administrative requirements required by the competent governmental authorities for the approval of the plan against the **Legal Framework Review (Activity 2)**.
2. Make any necessary modifications to bring the plan into line with the requirements in each context.
3. Review and understand all necessary procedures in terms of steps, time and documentation required by the authorities depending on the context.
4. Submit the plan to the relevant government authorities for approval, acceptance and implementation.



Validation workshop, Luanda, Angola, UN-Habitat

 **Objective**

To mobilise resources to ensure the completion of the plan's actions and projects and make the best use of existing and potential resources from different bodies, both internal and external (foundations, public sector, private sector, etc.).

 **Results**

- Resource mobilisation plan for the implementation of the plan and projects
- Mapping of potential external finance sources

 **Tools**

T56 [Resource Mobilisation Plan for Implementation](#)

T64 [Fundraising Database](#)

T65 [List of Official Aid to Development Sources](#)

 **Description**

This activity consists of mobilising the resources identified as necessary for the implementation of the plan and projects. For this purpose, the results of the **Financial Resources Review (Activity 3)** are reviewed and updated, as well as the resources defined for each project in **Block H Project Prioritisation**.

It will be essential to develop a list of the external resources needed to carry out the implementation of the plan. This list is very important, as it will help to find solutions for each of the missing resources and items. Solutions may take the form of sub-contracting, grants, international programmes, tenders, public-private partnerships (PPPs), etc. Further funding support and contributions may be sought through available services, fundraising and private investments from other partners or NGOs or international calls for proposals (this activity includes a regularly updated catalogue of international donors in **T65 List of Official Aid to Development Sources**). Job vacancies should be advertised through official local government channels with appropriate terms of reference that ensure an equal, meritocratic and inclusive procedure.

In order to attract external investors and make projects more bankable, it is highly recommended to conduct rigorous analyses of the city's economy and finances. This shouldn't be limited only to the use of **T4 City's Financial Assessment Guide**, but also include economic forecasts, ratio analysis and financial projections. Municipalities that have assessed their own creditworthiness are better equipped to convince potential investors about the financial viability of their projects.

Then, using the **T56 Resource Mobilisation Plan for Implementation**, a resource mobilisation plan is made detailing dates, amounts of capital and people, as well as the origin of each of them and the requirements needed to obtain them.

Finally, it is recommended that the resource mobilisation plan be monitored and reviewed on an ongoing basis (**T64 Fundraising Database**) as so many different actors are involved that there are many factors beyond one's control. This plan is of vital importance to better manage the implementation process and ensure the risk of resource shortfalls.

 **Steps**

1. Review and update the results of the **Financial Resources Review (Activity 3)**, as well as the resources defined for each project in the **Development of Strategic Project Sheets (Activity 41)**.
2. Carry out all necessary economic and financial assessments to build a persuasive project proposal for external investors
To control dates, quantities and people, assigning to each of them their origin, the requirements needed to obtain them and
3. follow-up mechanisms, through the **T56 Resource Mobilisation Plan for Implementation**.
Review the resource mobilisation plan on an ongoing basis to avoid potential problems of resource shortages.
4. Start contacting and approaching potential partners and donors through all available channels (mailing, virtual meetings, dedicated events, etc.), for which you can use the **T64 Fundraising Database**.
5. Keep all the involved stakeholders informed.

✦ References

- The challenge of local government financing in developing countries
- Challenges and Opportunities for Urban Climate Finance
- What is a Bankable Project



 **Objective**

Establish all the necessary actions to implement the plan's projects. Organise an initial meeting to coordinate with the different projects and initiatives and create synergies in the area of work.

 **Results**

- Definition of the implementation team
- Tasks, list of relevant projects and coordinating bodies
- Kick-off meeting

 **Description**

The management and coordination of the different projects are of fundamental importance for their successful implementation. Therefore, this activity focuses on ensuring that all the actions necessary for the start-up of the projects are known and have a team responsible for each of them. Some of these actions may include coordination with partners, departments, agencies, and institutions and their specific tasks. The lead for the project management process will be the local government or the competent governmental authority depending on the context. It will be in charge of convening and mobilising the actors involved in the implementation process of the plan and bringing together all the institutions that were assigned in the **Development of Strategic Project Sheets (Activity 41)** as responsible entities.

The activity starts with a kick-off meeting in which all available human resources and their technical and professional capacities are analysed. For this purpose, it is recommended to go back to the results of the **Action Plan (Activity 47)** and the **Development of Strategic Project Sheets (Activity 41)** and review the projects as well as other relevant and necessary tasks for the start-up of the implementation of the projects. In order to have efficient and detailed management, responsibilities are assigned in the form of tasks or projects with their corresponding coordinating bodies. An executing team is defined, in which each member/ institution will have clear responsibilities, functions, and coordination dynamics with the rest of the members of this and other project teams. This last point is fundamental, as it will be important to look for mechanisms to generate synergies between teams that facilitate cross-cutting dynamics in the form of regular meetings or other means of communication.

At the same time, the kick-off meeting is also used to plan the management of the stakeholders involved in each of the projects, as their collaboration and cooperation are very important throughout the process, including the implementation phase. Therefore, different strategies and documentation, such as memorandums of understanding and other instruments defined in **Governance and Management Instruments (Activity 46)**, are evaluated in order to establish the necessary agreements with departments, agencies and institutions. The steering and advisory committees will also have responsibilities in the implementation process. Thus, these responsibilities include regular consultation at a frequency to be determined, promotion and socialisation of the plan and projects, as well as active participation in monitoring and follow-up strategies for project implementation.

The kick-off meeting and start of the process finalises with a clear definition of the people who make up the implementation team, their responsibilities associated with the projects and tasks necessary for the implementation of the plan and the management strategy of the actors involved in each of the projects.

 **Steps**

1. Initiate coordination kick-off meeting(s).
2. Review available human resources and their technical and professional capacities.
3. Review the results of the **Action Plan (Activity 47)** and the **Development of Strategic Project Sheets (Activity 41)** and list the projects and tasks needed to implement the projects in the plan.
4. Assign responsibilities and define the implementation team. At the same time, jointly seek mechanisms to generate synergies between teams.
5. Planning of the coordination with stakeholders involved in each project, assessing the different strategies and documentation to be carried out for each of them, such as memorandum of understanding and agreements.

End the meeting(s) with a definition of the implementing team, its responsibilities and a coordination strategy with the actors involved in each project.

54

Implementation Work Plan

2 Weeks 

ACTIVITY

Objective

Define a work plan to map out the entire implementation process with defined steps, phases and milestones for each project. Predict likely outcomes, costs and risks, as well as prepare contingency plans in case of implementation problems.

Results

- Work Plan
- Timetable for implementation
- Budget Plan
- Contingency Plan

Tools

T57 [Implementation Work Plan Template](#)

Description

This activity focuses on achieving greater coordination and more efficient management of the different projects that make up the plan, and thus achieving a comprehensive and functional work plan. Coordination and management are essential in any phase of the planning process. However, in the implementation phase, where each project has its own time, location and responsible persons, this coordination becomes essential if an organised and successful process is to be carried out.

Once the results of the **Development of Strategic Project Sheets (Activity 41)** and the **Action Plan (Activity 47)** have been reviewed, individual strategies are defined for each of the projects that make up the plan. These strategies will define responsibilities, resources and time management, as well as expected results, predictable costs or expenses and likely risks for each project. The **T57 Implementation Work Plan Template** tool allows you to define the individual strategies for each project and then put the strategies for all projects together in the joint work plan.

Then, when all the individual strategies are grouped together, they are pooled and the joint strategy is developed. This activity follows an inductive logic, as it goes from the particular, with each project, to the general, with the joint strategy. Once the project strategies have been defined, a joint timeline can be drawn up, as well as a budget plan for implementation, and finally a contingency plan, which detects all possible risks in implementation and finds ways to mitigate them.

Finally, after defining an integrated, joint and detailed work plan, each team will be clear about its responsibilities, its strategy, how to manage its time and its position in relation to the rest of the team and the plan. The work plan needs to be updated while the plan is implemented, it is necessary to define a responsible person in the team to keep all the project information updated and reviewed on an ongoing basis as so many different actors are involved. An accountability meeting with all the stakeholders involved would be necessary to keep all the involved institutions informed.

Steps

1. Review the results of the **Development of Strategic Project Sheets (Activity 41)** and the **Action Plan (Activity 47)**.
2. Define individual strategies for each of the projects through the **T57 Implementation Work Plan Template**, defining responsibilities, resources needed, dates and times, expected results, predictable costs or expenses and probable risks.
3. Put all the individual strategies together, grouping and shaping the implementation work plan.
4. Grouping time issues such as delivery dates, frequency of meetings, time limits for each of the project strategies, in order to define the joint implementation schedule.
5. Group the expected expenditures or costs of each of the projects together to generate the joint budget plan.
6. Group the likely risks and their mitigation pathways for each of the projects to create the common contingency plan.
7. Upon completion, have a joint, detailed and integrated work plan for implementation.
8. Review the work plan on an ongoing basis and keep all the involved stakeholders informed.

Objective

Manage the implementation of the projects and actions included in the plan. This activity will have an indeterminate duration depending on the plan, project and context. It is the achievement of all the previous phases and involves the transformation of abstract principles into a specific impact for the community.

Results

- Execution of the plan and its implementation (strategic projects and initiatives)
- Communication of initiatives to stakeholders and the community

Tools

T41 Citizen Engagement Guide

Description

This activity refers to the actual implementation of the plan, whereby everything planned and designed in the form of abstract principles or issues is materialised and transformed into a tangible and real impact for the community.

Once the plan has been approved and after having managed, coordinated and organised all the execution in the previous activities, the actual implementation takes place. This activity varies in duration depending on the project, plan and context with which you are working. However, there are several important tasks that can be carried out regardless of the context and type of plan.

It is therefore recommended that a start-up record of the implementation be kept. Such a record can be graphic or audiovisual, through photographs or videos but it should, in any case, be a documentary, keeping an organised management of all documentation related to the implementation process.

Finally, it will be important for a closer relationship and collaboration with stakeholders and the community and the implementing team should communicate and create participatory activities while implementing the projects and the plan. This communication may vary according to the strategy decided in the **Project Management (Activity 53)**, but it is recommended that there is a clear strategy on how to communicate with the community and the general public, indicating that the plan is under the implementation phase.

Steps

1. Once implementation has started after the approval of the plan, keep an organised record of all documentation related to the implementation process.
2. Optionally, it is recommended to keep a graphic or audio-visual record of the implementation process.
3. Communicate and inform stakeholders and the community about the implementation of different projects and the plan, as defined in the **Project Management (Activity 53)**.
4. Promote different events and participatory activities to assess the perception of the involved communities and stakeholders of the projects and the plan implementation (**T41 Citizen Engagement Guide**).



Vung Tau, Vietnam, UN-Habitat



L Follow-up Strategy

BLOCK



Develop and establish mechanisms to ensure the sustainability of the planning process and the implementation of the plan, as well as mechanisms for monitoring, evaluation and reporting on the progress of the plan and projects.

| | | |
|---|--|---|
| <p>56.</p> <p>Evaluation of the Plan's Projects and Actions</p> <p> Variable time 1 tool</p> <hr/> <p> participatory</p> | <p>57.</p> <p>Socialisation, Feedback and Learning Mechanisms</p> <p> 1 week 1 tool</p> <hr/> <p> participatory</p> | <p>58.</p> <p>Incremental Improvements to the Planning Process</p> <p> 1 week 1 tool</p> <hr/> <p> participatory</p> |
|---|--|---|

Objective

Develop mechanisms to monitor, evaluate and report on the progress of the plan and projects, in order to create accountability frameworks and assess impact.

Results

- Implementation monitoring matrix, through indicators
- Implementation performance evaluation reports
- Environmental and social impact monitoring matrix

Tools

T58 [Environmental and Social Impact Monitoring Matrix](#)

Description

Monitoring and evaluation is a continuous exercise to assess the performance of the plan's objectives, strategies and projects. In this activity, the technical team will develop a matrix to continuously monitor, evaluate and report on the plan's phases, development, implementation and impact of projects.

First, the **Monitoring and Evaluation Strategy (Activity 50)** is reviewed and implemented. This will define the indicators to be measured and to evaluate the plan progress. For each initiative, the technical team has already assigned its indicators, with their corresponding dates, milestones and frequency of measurement and evaluation. Therefore, this activity focuses on the development of the monitoring and evaluation reports during the implementation of the plan.

In turn, it is essential to keep a record and monitor the process in order to make evaluation reports during the implementation process. In some cases, it may be necessary to report performance on some indicators to external funding sources or to agencies overseeing the process. Therefore, regardless of whether this is the case, reporting is highly recommended in order to make the process more transparent and to improve engagement strategies with stakeholders and the community.

In continuity with the **Environmental and Social Impact Strategy for the City (Activity 24)** or for the Neighbourhood Plan (**Environmental and Social Impact Strategy for the Neighbourhood Plan (Activity 35)**) it is recommended to use the **T58 Environmental and Social Impact Monitoring Matrix**. Using this matrix complements the Environmental and Social Management Plan (ESMP) which should have been developed as part of the content of the **T31 Environmental and Social Action Plan Template** or the **T66 Environmental and Social Impact Assessment (ESIA)**.

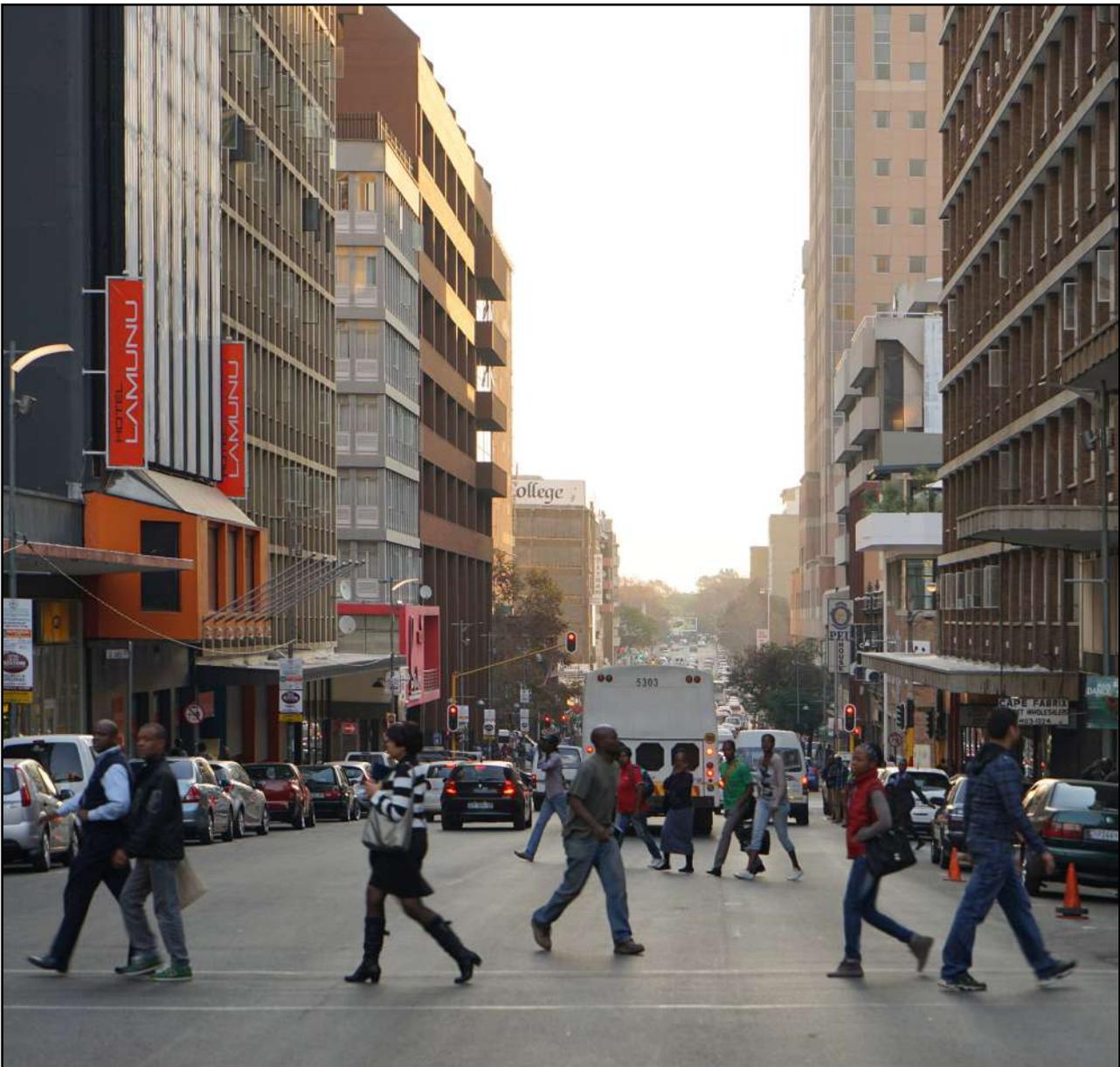
It is recommended to use this matrix to be able to track the identified environmental and social impacts, as well as their mitigation measures, monitoring indicators, frequency of measurement and those responsible for the process. The matrix also includes a section to monitor compliance with legal and regulatory requirements at different scales, including the national and local scales which were previously identified in the **Legal Instruments (Activity 45)**.

Steps

1. Review and implement the **Monitoring and Evaluation Framework (Activity 49)**, which defines the indicators to be measured, the calculation needed to evaluate it, and the team or institution responsible for measuring it.
2. Follow the calendar with dates, milestones and frequency of measurement and evaluation of the indicators set out in the **Monitoring and Evaluation Framework (Activity 49)**.
3. Keep a record of the whole process in order to be able to make several evaluation reports during the whole implementation process.
4. Based on the information in the Environmental and Social Management Plan of the ESAP or ESIA developed under the **Environmental and Social Impact Strategy for the City Plan (Activity 22)** or for the Neighborhood Plan (**Environmental and Social Impact Strategy for the Neighbourhood Plan (Activity 35)**), complete the **T58 Environmental and Social Impact Monitoring Matrix**.

✦ References

- [SDG Indicator Framework](#)
- [Voluntary National Reports \(INV\)](#)
- [Urban Prosperity Initiative \(CPI\)](#)
- [Prosperous Cities Index \(Mexico\)](#)
- [New Urban Agenda Monitoring Framework](#)
- [Project SDG Assessment Tool](#)
- [UN-Habitat Environmental and Social Safeguards System version 3 \(ESSS 3.1\)](#)



▲
Braamfontein, Johannesburg, South Africa, Rogier van den Berg

Objective

Develop and establish mechanisms to ensure the sustainability of the planning process, such as advocacy measures and mechanisms for stakeholder and community feedback.

Results

- Communication strategy for the implementation process of the plan, which could include a public participation website, project brochures/flyers, interactive social media account, events, etc.

Tools

T59 Feedback Strategy

Description

Stakeholder participation and feedback, especially from the community, are essential at any stage of the urban planning process, including implementation.

This activity defines a strategy for collecting opinions, suggestions and complaints from citizens and stakeholders involved in the implementation of the plan's projects and actions. Through **T59 Feedback Strategy**, one-way and two-way communication channels will be detailed for all the actors involved in the process, and the frequency of communication by the implementing team will be specified, as well as all the characteristics (means, capacities, people in charge) that make up these actions. In this way, a greater commitment is achieved involving all the actors, while at the same time generating a greater sense of belonging and involvement in the process on the part of the community.

Finally, it is not only enough to listen to all the actors involved, with special attention to the opinion of the community, but it will also be necessary to gather their opinions and make efforts to resolve their doubts, concerns and suggestions. Ensuring two-way communication will reinforce the sustainability and acceptance of the projects, while at the same time it will serve as learning for the executing and technical team in terms of feedback, performance of their professional activity and possible adaptations to future plans, processes and projects.

Steps

1. Define the communication strategy for the plan implementation process, using the **T59 Feedback Strategy** to detail the communication channels to be used with the different stakeholders and especially with the community.
2. Gather opinions, suggestions and concerns, and make efforts to resolve them.
3. Discuss at the end of the process the lessons learned from this communication and how to improve future processes or projects through this feedback.

Objective

Map and incorporate learnings to adjust the urban planning process, in order to improve the approach and process for the development of future plans.

Results

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

Tools

T60 Methodological Evaluation

Description

The last activity of the methodology proposes a joint reflection exercise. Throughout the process, different opinions on the methodology have emerged, so in order to adjust the urban planning process, this activity consists of a methodological evaluation.

Firstly, the use of the **T60 Methodological Evaluation** tool is proposed in order to review the lessons learned in each block or activity, and to propose improvements or specific suggestions for each context. In this way, urban planning processes are adjusted and adapted for future uses of the methodology according to the conditions of each context. This evaluation will allow not only to detect adaptations, but also to include steps and processes that are not included in this methodology. It will also strengthen public administrations through prior knowledge of the capacities that need to be further developed on a case-by-case basis.

Finally, with the aim of promoting collective knowledge as a driver of cooperation and development, it is requested that this methodological evaluation exercise be sent to UN-Habitat, to the Our City Plans team, in order to reinforce the learning from the different experiences and to achieve a more complete and adjusted methodology in the following editions.

Steps

1. Reflect on the methodological process as a whole, focusing on additional activities and suggestions for improvement. Use the tool **T60 Methodological Evaluation**.
2. Identify adaptations, additional steps and procedures and capacities to be reinforced according to the context.
3. **Send the methodological evaluation to the UN-Habitat Our City Plans team** in order to reinforce the learning from the different experiences and, through collective knowledge, achieve a more complete and adjusted methodology in future editions.

TOO

Remember that all the Tools are available in a digital format in each activity description.



OLS

05

- T1** List of minimum required expertise and partners
- T2** Urban Legislation Assessment
- T3** Matrix of References
- T4** Financial Assessment Guide
- T5** Project Budget Template
- T6** Self-Assessment Guide
- T7** Workshop Checklist
- T8** Work Plan Template
- T9** Guiding Document Template
- T10** Environmental and Social Screening Report Template
- T11** Environmental and Social Development Impact Plan (DIP) Template
- T12** Stakeholders' Mapping
- T13** Participation Plan Guide
- T14** Desk and Field Research - Data Checklist
- T15** Matrix of Functions (MoF)
- T16** Participatory Incremental Mapping (PIM)
- T17** Impact Chain Diagram
- T19** Urban Expansion Projections
- T20** Vulnerability Assessment
- T21** S.W.O.T. Analysis
- T22** Scenario Building Narratives
- T23** Constraints, Challenges and Opportunity, and Suitability Maps
- T24** Strategic Visioning Workshop Guide
- T25** Scenario Building Narratives
- T26** Thematic Issues Checklist
- T27** Spatialisation of the Strategic Vision Workshop
- T28** Urban Development Structure Guide
- T29** Development Zones Guide
- T30** Environmental and Social Scoping Report Template
- T31** Environmental and Social Plan Template
- T32** Strategic Projects Workshop
- T33** Project Prioritisation Template
- T34** Adaptation Options Identification
- T35** Preliminary Financial Plan Template
- T36** Compatibility of Functions Guide
- T37** Land Use Indicators
- T38** Detailed Data Gathering and Analysis
- T39** Neighbourhood Planning Workshop Guide
- T40** Preliminary Estimation of Costs Template
- T41** Citizen Engagement Guide
- T42** Strategy Framework Guide
- T43** Facilities and Public space Projections
- T44** Pre-feasibility study template
- T45** Participatory Prioritisation Guide
- T46** Project Prioritisation Template
- T47** Template of Strategic Project Sheets
- T48** Land Tenure Typologies Guide
- T49** Land Management Instruments Guide
- T50** Financial Instruments Guide
- T51** Regulatory Instruments Guide
- T52** Governance Instruments Guide
- T53** Action plan matrix
- T54** Monitoring and evaluation framework
- T55** Indicator Summary Matrix
- T56** Resource Mobilisation Plan for implementation
- T57** Implementation Work Plan
- T58** Environmental and Social impact Control Matrix
- T59** Feedback Strategy
- T60** Methodological Evaluation
- T61** Risk response options
- T62** Resilience Initiatives for the City
- T63** Land Strategies Guide
- T64** Fundraising Database
- T65** List of Official Aid to Development Sources
- T66** Environmental and Social Impact Assessment (ESIA) Template
- T68** Urban Development Directives Guide

T1 List of Minimum Required Expertise and Partners

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

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

Instructions

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

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

Project lead (Name/ contact)

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

Project management.....(Name/ contact)

Will drive and monitor the management process and make sure the team achieves the objectives and deliverables on time. Is responsible for the budget, achieving deadlines, and involving all the identified stakeholders.

Urban planning.....(Name/ contact)

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

Urban design and architecture(Name/ contact)

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

Spatial analysis.....(Name/ contact)

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

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

Urban economy.....(Name/ contact)

T1 List of Minimum Required Expertise and Partners

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.

Urban legislation(Name/ contact)

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.

Participatory processes expert(Name/ contact)

Will provide expertise on designing and implementing participatory processes, strategies and activities, incorporating and engaging different stakeholders.

Communications expert(Name/ contact)

Will provide expertise on designing and implementing the communication strategy, creating engaging content to connect with diverse stakeholders, and promoting the urban planning process through different media.

Risk reduction and climate planning(Name/ contact)

Will provide expertise on urban resilience, risk reduction actions, and climate adaptation and mitigation strategies.

Housing(Name/ contact)

Will provide expertise on housing and inclusive community development at different urban scales.

Transport and mobility(Name/ contact)

Will provide expertise on transportation systems and sustainable urban mobility strategies.

Social inclusion(Name/ contact)

Will provide expertise on inclusive policies, engagement of vulnerable groups, social housing, inclusive slum regeneration strategies and fair land management regulations.

Other expertise

.....(Expertise)(Name/ contact)

.....(Expertise)(Name/ contact)

.....(Expertise)(Name/ contact)

List of technical team members

Internal members

New hires or contractors / Partners / External support



T1 List of Minimum Required Expertise and Partners

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|-------|-------|
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T2 Urban Legislation Assessment

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

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

Instructions

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

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

Planning instruments identification (national, regional and metropolitan scale)

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

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

Local legislation assessment

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

T2 Urban Legislation Assessment

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

Date of promulgation: Timelapse of planning/legal time for review:

Does it include an urban perimeter? Is the built-up area exceeding the urban perimeter?

Is the urban perimeter still large enough to contain the urbanisation?

List of the current land use categories:

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

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3. Discuss and answer the following regulatory framework checklist.

Legal requirements for plan approval

T2 Urban Legislation Assessment

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

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T3 Matrix of References

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

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

Instructions

International agendas and frameworks:

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

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

International Agendas identification

Which International Agendas are you familiar with?

- Paris Agreement
- 2030 Agenda for Sustainable Development (SDGs)
- Addis Ababa Action Agenda
- Sendai Framework
- SAMOA Pathway
- New Urban Agenda
- Other agendas:
- Other agendas:

What are the locality responsibilities?

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

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.....

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

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T3 Matrix of References

2. Review the National agenda and frameworks for sustainable development

National Agendas Identification

United Nations Development Assistance Framework (UNDAF/ UNPAF)

What are the UNDAF/ UNPAF pillars?

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Habitat Country Programme Document (UN-Habitat)

What are the HCPD pillars or UN-Habitat Country Office priorities?

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SDGs prioritised at the National Level

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

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T3 Matrix of References

Are there other regional or national development frameworks in use? (e.g. City Prosperity Index) What are the main pillars and priorities?

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T4 City's Financial Assessment Guide

The **City's Financial Assessment** serves as a comprehensive financial management tool designed to evaluate the fiscal health and sustainability of the municipality. It can be adapted to each particular local context and aims to provide an in-depth analysis of revenue streams, expenditures, cash flow, debts, and investments. The tool assists in making informed decisions for budget allocation, long-term planning, and policy formulation.

Its purpose is to allow municipal authorities to have a preliminary picture of the state of their municipality's finances so they can start thinking about the actions to be taken in order to guarantee the financial sustainability of their future projects.

This assessment enables the city to make data-driven decisions for its annual budget; ensures transparent financial governance by detailing revenue and expenditure sources; identifies financial vulnerabilities, such as arrears or unsustainable debts, and assists in aligning financial resources with strategic priorities, such as healthcare, education, and infrastructure.

The tool is designed to capture historical and current data, offering a longitudinal view of the city's finances. It includes clarifying graphs that are critical for evaluating financial health. The assessment can serve as a basis for internal reports, stakeholder communications, and grant applications. Regular updating is necessary for accurate tracking and for adapting to changing financial environments.

Municipal Budget Table

REVENUES

Shared taxes (City share): The percentage of various state-level taxes allocated to the municipality. E.g., VAT, personal income tax, corporate income tax, etc. % indicates the percentage of that tax type allocated to the municipality from the state government.

Unconditional transfers: Funds from the state government that are not earmarked for specific uses.

Operating transfer: For day-to-day expenditures like wages.

Investment grant: For capital expenditures like infrastructure development.

Conditional transfers (pass-through): Funds for specific purposes like wages or social policy programs.

Local taxes and levies: Taxes collected solely by the municipality like property tax and business taxes.

Local fees: Revenue from issuing permits, licenses, or other administrative services.

Local asset proceeds: Revenue generated from municipal assets like rent from municipal properties, sales, etc.

Dividends, funds, assets from PUCs (Public Utility Companies): Any financial contributions transferred from the public utilities to the municipal budget.

EXPENDITURES

Expenses on Delegated Functions: Expenditures on functions that the municipality is required to provide.

Own Expenditures: Costs for services that the municipality chooses to provide.

Cash Balance & Arrears Table

CASH BALANCE

Cash receipts: Money received during the month.

Cash payments: Money paid out during the month.

Cumulative inflow: Total money received up to that month in the year.

Cumulative outflow: Total money paid out up to that month in the year.

Net change in the stock of cash: The net flow of cash for the municipality.

T4 City's Financial Assessment Guide

II ARREARS

Public stakeholders: Unpaid dues to public organizations.

City dues to private contractors: Unpaid dues to private service providers.

Labor arrears (wages, salaries): Unpaid labor costs.

Indebtedness Table

I MEDIUM & LONG TERM DEBT

On-lending loan: Loans given to the municipality by the central government.

Direct Loan: Loans obtained directly from a financial institution.

Municipal Bond: Bonds issued by the municipality to raise funds.

II SHORT TERM DEBT

Treasury facility: A short-term loan from the central government.

Facility from Commercial Bank: A short-term loan from a commercial bank.

Capital Investment Table

Delegated investments: Investments in sectors managed by other governmental layers or agencies.

Municipal investment: Investments directly managed by the municipal government.

Investment into PUC: Investment into Public Utility Companies.

Earmarked grants: Grants meant for specific projects or sectors.

Own budgetary revenue: Revenue generated by the municipality itself.

Loans or municipal bond: Funds obtained via loans or bonds.

Equity from PUC: Financial contributions from Public Utility Companies.

Tax Potential & Performance Table

Number of taxpayers: The total number of individuals and businesses that are taxpayers.

Theoretical collection: The estimated amount expected to be collected based on the base and tax rates.

Base: The tax base, for example, the property value for property tax.

Exemption: Cases where tax is not applicable.

Rate: The rate of tax applied to the base.

Tax collected: The actual amount of tax collected.

Graphical Representations

Revenue vs. Expenditure Over Time

Interpretation: This graph showcases whether the municipality is running at a surplus (revenues exceed expenditures) or a deficit (expenditures exceed revenues) in any given year.

Significance: A consistent deficit could signal the need for increased revenue mobilization, expenditure cuts, or both. A surplus might indicate room for more investments or savings for future large-scale projects.

Theoretical vs. Actual Collection Over Time

Interpretation: Compares the potential tax revenue (based on the tax base and rates) to the actual revenue collected.

T4 City's Financial Assessment Guide

Significance: A large gap between theoretical and actual collections can signal inefficiencies in the tax collection process or issues with tax compliance.

Capital Investment vs. Financing Over Time

Interpretation: Delineates how capital investments have been financed over time, breaking down between loans, grants, and other sources.

Significance: A balanced mix of financing sources is ideal. Over-reliance on loans, for instance, may increase long-term financial risk.

Delegated vs. Own Expenditures Over Time

Interpretation: Represents the proportion of money spent on responsibilities handed down by higher government levels (delegated) versus local, autonomous responsibilities (own).

Significance: A large proportion of delegated expenditures can signal limited financial autonomy.

State vs. Local Revenue Over Time

Interpretation: Illustrates the ratio between revenues provided by the state government and locally generated revenues over time.

Significance: A higher dependency on state revenues may indicate limited local revenue mobilization capabilities, and could make the municipality vulnerable to changes in state policy.

T5 Project Budget Template

City/Municipality

Project

Year

Instructions

1. Review the Budget categories (next sheet)
2. According to the objectives and outputs, assign budget categories and costs to formulate the total budget. Adjust the template according to the context of the project and structure of the objectives and outputs.

| Objective | Output | Budget categories | Cost | Units (day/month/y) | # of units | Total budget (per Total budget | Implementing partner | Funding sources | |
|---|-----------|--|------------|---------------------|--------------------|----------------------------------|----------------------|-----------------|--|
| Objective 1. | Output 1. | Staff and other personnel costs & consultants | | | | Subtotal 1. | | | |
| | | Urban planner | \$3,000.00 | Month | 30 | \$90,000.00 | | | |
| | | ... | | | | \$0.00 | | | |
| | | ... | | | | \$0.00 | | | |
| | | | | | | \$0.00 | | | |
| | | | | | | \$0.00 | | | |
| | | | | | | \$0.00 | | | |
| | | | | | | \$0.00 | | | |
| | | Supplies, commodities, materials | | | | | Subtotal 2. | | |
| | | Workshop/Training | | | | \$0.00 | | | |
| | | Official supplies | | | | \$0.00 | | | |
| | | | | | | \$0.00 | | | |
| | | Equipment, vehicles and furniture | | | | | Subtotal 3. | | |
| | | IT Equipment... | | | | \$0.00 | | \$90,000.00 | |
| | | ... | | | | \$0.00 | | | |
| Travel | | | | | Subtotal 4. | | | | |
| Travel (local) | | | | \$0.00 | | | | | |
| Travel (international) | | | | \$0.00 | | | | | |
| General operating and other direct costs | | | | | Subtotal 5. | | | | |
| Telecommunication | | | | \$0.00 | | | | | |
| ... | | | | \$0.00 | | | | | |
| External services | | | | | Subtotal 6. | | | | |
| ... | | | | \$0.00 | | | | | |

T6 Self-Assessment Guide

Description This tool aims to support the definition of activities to be carried out in the urban planning process. Different aspects should be considered to ensure a sustainable process, aligned with the objectives, the internal capacities, and resources of the municipality in terms of time, budget, territorial ownership, availability of expertise, etc.

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

Section 1. Context of the urban planning process

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

Instructions

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

| | |
|--|---|
| How big is your city? | Total Population (number) |
| | Urban Population (number) |
| | Extension (square kilometre) |
| | Strategic role at the regional/national scale (low, medium, high) |
| Is there an urban planning department in your local government? (yes, no) Describe the structure/ organogram of the institution responsible to planning process: | |
| What is the main objective of the planning process? <input type="checkbox"/> Develop a new plan: <input type="checkbox"/> strategic spatial plan <input type="checkbox"/> statutory or land-use plan <input type="checkbox"/> neighbourhood plan <input type="checkbox"/> Assess, update and/or review an existing plan <input type="checkbox"/> Elaborate a specific component of the urban planning process: <input type="checkbox"/> Operationalise the projects of an existing plan <input type="checkbox"/> Implement an existing plan <input type="checkbox"/> Align a plan with international urban planning framework <input type="checkbox"/> Integrate a cross-cutting topic to a plan <input type="checkbox"/> Stakeholder participation <input type="checkbox"/> Climate action <input type="checkbox"/> Spatial inclusion | |

T6 Self-Assessment Guide

Alignment to international agendas Urban finance

Others

Other

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

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

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

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

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

Section 2. Questionnaire

Instructions

1. In a collaborative session, assess the tables below, marking the activities that are more suitable for the planning process, depending on the local context and the table filled above. You can use the image at the end of the tool to select the activities from the Toolbox.

Tip: A complete review of the selected activities should be made to verify that the results lead to the desired process. You can review and include other activities that may need to be included or which have already been developed and remove them. Feel free to add or delete activities to consolidate the customised planning process.

A. Identify activities of Phase I: Assessment

The table below specific components of Phase I is presented: Use the reference table to assess which components need to be developed and select the corresponding activities to be included in your planning process. In some cases, some components have already been developed by the planning team or municipality, so it may not be necessary to develop all the activities in this phase.



T6 Self-Assessment Guide

| | COMPONENT | RECOMMENDED ACTIVITIES |
|----------------------------|--|--|
| PHASE 1: ASSESSMENT | <input type="checkbox"/> Contextualisation Assessment of urban planning, legal and financial frameworks. | <input type="checkbox"/> 1 Human and Physical Resources Review |
| | | <input type="checkbox"/> 2 Legal Framework Review |
| | | <input type="checkbox"/> 3 Financial Resources Review |
| | | <input type="checkbox"/> 4 Programming the planning process |
| | <input type="checkbox"/> Project Preparation Development of the Concept Note for the plan, identification of stakeholders and resource mobilisation. | <input type="checkbox"/> 5 Guiding Document/ Concept Note |
| | | <input type="checkbox"/> 6 Environmental and Social Development Impact Plan for the Planning Process |
| | | <input type="checkbox"/> 7 Resource Mobilisation and Project Office |
| | <input type="checkbox"/> Participation Set-up Development of the participation strategy | <input type="checkbox"/> 8 Participation and Committees Formation |
| | | <input type="checkbox"/> 9 Participation Plan |
| | | <input type="checkbox"/> 10 Communication Strategy |
| | | <input type="checkbox"/> 11 Public Launch of the Planning Process |
| | <input type="checkbox"/> Data gathering Information and data collection for urban analysis | <input type="checkbox"/> 12 Desk Research |
| | | <input type="checkbox"/> 13 Field Research |
| | <input type="checkbox"/> Analysis and Diagnostic Analysis and development of the urban diagnostic | <input type="checkbox"/> 14 Analysis |
| | | <input type="checkbox"/> 15 Analysis Validation and Diagnostic Workshop |
| | | <input type="checkbox"/> 16 Diagnostic |

B. Identify activities according to the type of plan to be developed (Phase 2: Plan)

The table below specifies components of Phase II is presented: Our City Plans includes the possibility of developing three types of plans: Strategic Development Plan, Land Management Plan and Neighbourhood Plan. According to the city's objective, use the following table to define the type of plan to be developed, as well as its specific components, and select the activities to be developed in the planning process for Phase 2.

| | TYPE OF PLAN | COMPONENT | RECOMMENDED ACTIVITIES |
|----------------------|--|---|---|
| PHASE 2: PLAN | <input type="checkbox"/> Strategic development plan Develop a city-wide plan defining a participatory vision for the future of the city, define goals, strategies, lines of action and strategic projects. | <input type="checkbox"/> Strategic vision and spatial scenarios | <input type="checkbox"/> 17 Scenario Building |
| | | <input type="checkbox"/> Spatial strategies | <input type="checkbox"/> 18 Strategic Visioning Workshop |
| | | <input type="checkbox"/> Strategies, lines of action and strategic projects | <input type="checkbox"/> 19 Spatialisation of the Strategic Vision |
| | | <input type="checkbox"/> Validation of results | <input type="checkbox"/> 20 Urban Development Structure |
| | | <input type="checkbox"/> Validation of results | <input type="checkbox"/> 21 Development Zones |
| | <input type="checkbox"/> Land management plan Develop a regulatory spatial document with legal value that translates the spatial strategies into a detailed land use plan and management plan with urban development guidelines. | <input type="checkbox"/> Territorial occupation structure | <input type="checkbox"/> 22 Formulation of Strategies and Initiatives |
| | | <input type="checkbox"/> Land use plan and urban development guidelines | <input type="checkbox"/> 23 Strategic Projects Workshop |
| | | <input type="checkbox"/> Sectoral plans | <input type="checkbox"/> 24 Environmental and Social Impact Strategy for the City |
| | | <input type="checkbox"/> Validation of results | <input type="checkbox"/> 25 Presentation and validation of results |
| | | <input type="checkbox"/> Data collection and analysis | <input type="checkbox"/> 26 Land Strategies |
| | <input type="checkbox"/> Neighbourhood Plan Develop a plan for a specific neighbourhood or sector of the city | <input type="checkbox"/> Urban design and planning | <input type="checkbox"/> 27 Land Use Map and Indicators |
| | | <input type="checkbox"/> Validation of results | <input type="checkbox"/> 28 Urban Development Directives |
| | | <input type="checkbox"/> Validation of results | <input type="checkbox"/> 29 Sectoral Plan |
| | | <input type="checkbox"/> Validation of results | <input type="checkbox"/> 30 Presentación de Resultados |
| | | <input type="checkbox"/> Validation of results | <input type="checkbox"/> 31 Detailed Data Gathering and Analysis |
| | | <input type="checkbox"/> 32 Neighbourhood Planning Workshop | |
| | | <input type="checkbox"/> 33 Neighbourhood Plan and Design | |
| | | <input type="checkbox"/> 34 Neighbourhood Projects and Interventions | |
| | | <input type="checkbox"/> 35 Environmental and Social Impact Strategy for the Neighbourhood Plan | |
| | | <input type="checkbox"/> 36 Presentation and validation of results | |

C. Identify activities according to the type of plan to be developed (Phase 3: Operationalisation)

The table below specifies components of Phase III is presented: Use the reference table to assess which components need to be developed and select the corresponding activities to be included in your planning process. In some cases, some components have already been developed by the planning team or municipality, so it may not be necessary to develop all the activities in this phase.

T6 Self-Assessment Guide

| PHASE 3: OPERATIONALISATION | COMPONENT | RECOMMENDED ACTIVITIES | |
|---|--|--------------------------|--|
| | <input type="checkbox"/> Project programming Prepare technical information on projects to be prioritised and define the strategic project portfolio. | <input type="checkbox"/> | 37 |
| <input type="checkbox"/> | | 38 | Participatory prioritisation workshop |
| <input type="checkbox"/> | | 39 | Project Technical Prioritisation |
| <input type="checkbox"/> | | 40 | Economic Impact Analysis |
| <input type="checkbox"/> | | 41 | Development of strategic project sheets |
| <input type="checkbox"/> | | 42 | Presentation of results (project prioritisation) |
| <input type="checkbox"/> Instruments Propose an action plan for the strategic project portfolio defined in the Project Programming block and the initiatives defined in the Strategic and Spatial Development Plan block. | <input type="checkbox"/> | 43 | Land management instruments |
| | <input type="checkbox"/> | 44 | Financial instruments |
| | <input type="checkbox"/> | 45 | Legal instruments |
| | <input type="checkbox"/> | 46 | Governance and management instruments |
| | <input type="checkbox"/> | 47 | Action plan |
| | <input type="checkbox"/> | 48 | Presentation and validation of results (Action Plan) |
| <input type="checkbox"/> Monitoring and evaluation Develop a monitoring and evaluation framework for the plan's strategies and initiatives, as well as for the strategic projects that make up the portfolio. | <input type="checkbox"/> | 49 | Monitoring and evaluation framework |
| | <input type="checkbox"/> | 50 | Monitoring and evaluation strategy |

D. Identify activities according to the type of plan to be developed (Phase 4: Implementation)

The table below specifies components of Phase IV is presented: Use the reference table to assess which components need to be developed and select the corresponding activities to be included in your planning process. In some cases, some components have already been developed by the planning team or municipality, so it may not be necessary to develop all the activities in this phase.

| PHASE 4: IMPLEMENTATION | COMPONENT | RECOMMENDED ACTIVITIES | |
|--|---|--------------------------|---|
| | <input type="checkbox"/> Implementation mechanisms Develop a monitoring and evaluation framework for the plan's strategies and lines of action, as well as for the strategic projects that make up the portfolio. | <input type="checkbox"/> | 51 |
| <input type="checkbox"/> | | 52 | Resource mobilisation |
| <input type="checkbox"/> | | 53 | Project management |
| <input type="checkbox"/> | | 54 | Implementation Work Plan |
| <input type="checkbox"/> | | 55 | Implementation of the Plan's Projects and Actions |
| <input type="checkbox"/> Follow-up Strategy Develop and establish mechanisms to ensure the sustainability of the planning process and the implementation of the plan, as well as mechanisms for monitoring, evaluation and | <input type="checkbox"/> | 56 | Evaluation of the Plan's Projects and Actions |
| | <input type="checkbox"/> | 57 | Socialisation, feedback and learning mechanisms |
| | <input type="checkbox"/> | 58 | Incremental improvements to the planning process |

E. Selection of thematic(s)

Our City Plans activities can be approached thematically/ components. Identify the theme(s) of interest:

- Citizen participation and stakeholder involvement
- Disaster risk management and climate resilience
- Analysis and spatial data
- Urban finance and mobilisation mechanisms
- Alignment with global agendas
- Socio-spatial inclusion

T6 Self-Assessment Guide

F. Identification of activities by thematic area

The table below specifies components per thematic areas. Based on the selected themes that are more relevant to the city, use the reference table to assess which components need to be developed and select the corresponding activities to be included in your planning process.

| Activity | Thematic | | | | | |
|---|--|---|---------------------------|---|-------------------------------|-------------------------|
| | Citizen participation and stakeholder involvement | Disaster risk management and climate resilience | Analysis and spatial data | Urban finance and mobilisation mechanisms | Alignment with global agendas | Socio-spatial inclusion |
| PHASE 1: ASSESSMENT | <input type="checkbox"/> 1 Human and Physical Resources Review | | | | | |
| | <input type="checkbox"/> 2 Legal Framework Review | | | | | |
| | <input type="checkbox"/> 3 Financial Resources Review | | | | x | |
| | <input type="checkbox"/> 4 Programming the planning process | x | | | | |
| | <input type="checkbox"/> 5 Guiding Document/ Concept Note | x | | | | x |
| | <input type="checkbox"/> 6 Environmental and Social Development Impact Plan for the Planning Process | | x | | | x |
| | <input type="checkbox"/> 7 Resource Mobilisation and Project Office | | | | x | |
| | <input type="checkbox"/> 8 Participation and Committees Formation | x | | | | |
| | <input type="checkbox"/> 9 Participation Plan | x | | | | |
| | <input type="checkbox"/> 10 Communication Strategy | x | | | | |
| | <input type="checkbox"/> 11 Public Launch of the Planning Process | x | | | | |
| | <input type="checkbox"/> 12 Desk Research | | x | x | | x |
| | <input type="checkbox"/> 13 Field Research | x | | x | | x |
| | <input type="checkbox"/> 14 Analysis | | | x | | x |
| | <input type="checkbox"/> 15 Analysis Validation and Diagnostic Workshop | x | | x | | x |
| | <input type="checkbox"/> 16 Diagnostic | | | x | | x |
| PHASE 2: PLAN | <input type="checkbox"/> 17 Scenario Building | | | x | | x |
| | <input type="checkbox"/> 18 Strategic Visioning Workshop | x | | | x | |
| | <input type="checkbox"/> 19 Spatialisation of the Strategic Vision | x | | x | x | x |
| | <input type="checkbox"/> 20 Urban Development Structure | | | x | | x |
| | <input type="checkbox"/> 21 Development Zones | | | x | | x |
| | <input type="checkbox"/> 22 Formulation of Strategies and Initiatives | x | x | | | |
| | <input type="checkbox"/> 23 Strategic Projects Workshop | x | | | x | |
| | <input type="checkbox"/> 24 Environmental and Social Impact Strategy for the City | | x | | | |
| | <input type="checkbox"/> 25 Presentation and validation of results | x | | | | |
| | <input type="checkbox"/> 26 Land Strategies | | | x | | x |
| | <input type="checkbox"/> 27 Land Use Map and Indicators | | | x | x | x |
| | <input type="checkbox"/> 28 Urban Development Directives | | | x | | x |
| | <input type="checkbox"/> 29 Sectoral Plan | | | x | | x |
| | <input type="checkbox"/> 30 Presentation and validation of results | x | | | | |
| | <input type="checkbox"/> 31 Detailed Data Gathering and Analysis | | | x | | |
| | <input type="checkbox"/> 32 Neighbourhood Planning Workshop | x | | x | | x |
| <input type="checkbox"/> 33 Neighbourhood Plan and Design | | | x | | x | |
| <input type="checkbox"/> 34 Neighbourhood Projects and Interventions | | | x | | x | |
| <input type="checkbox"/> 35 Environmental and Social Impact Strategy for the Neighbourhood Plan | | x | | | | |
| <input type="checkbox"/> 36 Presentation and validation of results | x | | | | | |

T6 Self-Assessment Guide

| | | | | | | | | | |
|-----------------------------|--------------------------|--|--|---|--|--|---|---|---|
| PHASE 3: OPERATIONALISATION | <input type="checkbox"/> | 37 | Project Preparation | | | | | | |
| | <input type="checkbox"/> | 38 | Participatory prioritisation workshop | x | | | | | x |
| | <input type="checkbox"/> | 39 | Project Technical Prioritisation | x | | | x | | |
| | <input type="checkbox"/> | 40 | Economic Impact Analysis | | | | x | | |
| | <input type="checkbox"/> | 41 | Development of strategic project sheets | | | | x | | |
| | <input type="checkbox"/> | 42 | Presentation of results (project prioritisation) | x | | | x | | |
| | <input type="checkbox"/> | 43 | Land management instruments | | | | | | |
| | <input type="checkbox"/> | 44 | Financial instruments | | | | x | | |
| | <input type="checkbox"/> | 45 | Legal instruments | | | | | x | x |
| | <input type="checkbox"/> | 46 | Governance and management instruments | | | | | | |
| PHASE 4: IMPLEMENTATION | <input type="checkbox"/> | 47 | Action plan | | | | x | x | x |
| | <input type="checkbox"/> | 48 | Presentation and validation of results (Action Plan) | x | | | | | |
| | <input type="checkbox"/> | 49 | Monitoring and evaluation framework | | | | | x | |
| | <input type="checkbox"/> | 50 | Monitoring and evaluation strategy | | | | | x | |
| | <input type="checkbox"/> | 51 | Plan approval | | | | | | |
| | <input type="checkbox"/> | 52 | Resource mobilisation | | | | x | | |
| | <input type="checkbox"/> | 53 | Project management | | | | | | |
| | <input type="checkbox"/> | 54 | Implementation Work Plan | | | | x | | |
| | <input type="checkbox"/> | 55 | Implementation of the Plan's Projects and Actions | | | | x | | |
| | <input type="checkbox"/> | 56 | Evaluation of the Plan's Projects and Actions | | | | | x | |
| <input type="checkbox"/> | 57 | Socialisation, feedback and learning mechanisms | | | | | | | |
| <input type="checkbox"/> | 58 | Incremental improvements to the planning process | | | | | | | |

Section 3. Assessing table

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

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

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

Review the final selection of activities and discuss how the programming of the planning process could be adjusted to the available resources, and adapt it accordingly.

Section 4. Work plan

After understanding the urban planning process objective and evaluating the available resources, develop a preliminary work plan using and adjusting the [T8 Project Work Plan Template](#)

T6 Self-Assessment Guide

| Phase 1: Assessment | Phase 2: Plan | Phase 3: Operationalisation | Phase 4: Implementation |
|--|---|---|---|
| Block A – Contextualisation 1 Human and Physical Resource Review <input type="checkbox"/> 2 Legal Framework Review <input type="checkbox"/> 3 Financial Resources Review <input type="checkbox"/> 4 Programming the Planning Process <input type="checkbox"/> | Block E – Strategic Development and Spatial Plan 17 Scenario Building <input type="checkbox"/> 18 Strategic Visioning Workshop <input type="checkbox"/> 19 Spatialisation of the Strategic Vision <input type="checkbox"/> 20 Urban Development Structure <input type="checkbox"/> 21 Development Zones <input type="checkbox"/> 22 Formulation of Strategies and Initiatives <input type="checkbox"/> 23 Strategic Projects Workshop <input type="checkbox"/> 24 Environmental and Social Impact Strategy for the City <input type="checkbox"/> 25 Presentation and validation of results <input type="checkbox"/> | Block H – Project Programming 37 Project Preparation <input type="checkbox"/> 38 Participatory Prioritisation Workshop <input type="checkbox"/> 39 Project Technical Prioritisation <input type="checkbox"/> 40 Economic Impact Analysis <input type="checkbox"/> 41 Development of Strategic Project Sheets <input type="checkbox"/> 42 Presentation and Validation of Results <input type="checkbox"/> | Block K – Implementation Mechanisms 51 Plan Approval <input type="checkbox"/> 52 Resource Mobilisation <input type="checkbox"/> 53 Project Management <input type="checkbox"/> 54 Implementation Work Plan <input type="checkbox"/> 55 Implementation of the Plan's Projects and Actions <input type="checkbox"/> |
| Block B – Project Preparation 5 Guiding Document <input type="checkbox"/> 6 Environmental and Social Development Impact Plan for the Planning Process <input type="checkbox"/> 7 Resource Mobilisation and Project Office <input type="checkbox"/> | Block F – Land Management Plan 26 Land Strategies <input type="checkbox"/> 27 Land Use Map and Indicators <input type="checkbox"/> 28 Urban Development Directives <input type="checkbox"/> 29 Sectoral Plan <input type="checkbox"/> 30 Presentation and Validation of Results <input type="checkbox"/> | Block I – Instruments 43 Land Management Instruments <input type="checkbox"/> 44 Financial Instruments <input type="checkbox"/> 45 Legal Instruments <input type="checkbox"/> 46 Governance and Management Instruments <input type="checkbox"/> 47 Action Plan <input type="checkbox"/> 48 Presentation and Validation of Results <input type="checkbox"/> | Block L – Follow-up Strategy 56 Evaluation of the Plan's Projects and Actions <input type="checkbox"/> 57 Socialisation, Feedback and Learning Mechanisms <input type="checkbox"/> 58 Incremental Improvements to the Planning Process <input type="checkbox"/> |
| Block C – Participation Set-up 8 Participation and Committees Formation <input type="checkbox"/> 9 Participation Plan <input type="checkbox"/> 10 Communication Strategy <input type="checkbox"/> 11 Public Launch of the Planning Process <input type="checkbox"/> | Block G – Neighbourhood Plan 31 Detailed Data Gathering and Analysis <input type="checkbox"/> 32 Neighbourhood Planning Workshop <input type="checkbox"/> 33 Neighbourhood Plan and Design <input type="checkbox"/> 34 Neighbourhood Projects and Interventions <input type="checkbox"/> 35 Environmental and Social Impact Strategy for the Neighborhood <input type="checkbox"/> 36 Presentation and Validation of Results <input type="checkbox"/> | Block J – Monitoring and Evaluation 49 Monitoring and Evaluation Framework <input type="checkbox"/> 50 Monitoring and Evaluation Strategy <input type="checkbox"/> | |
| Block D – Analysis & Diagnostic 12 Desk Research <input type="checkbox"/> 13 Field Research <input type="checkbox"/> 14 Analysis <input type="checkbox"/> 15 Analysis Validation and Diagnostic Workshop <input type="checkbox"/> 16 Diagnostic <input type="checkbox"/> | | | |

T7 Workshop Checklist

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

Participants This activity is carried out by the technical team.

| In-person workshop | Online workshop |
|---|--|
| Participants gather in the same physical space to carry out an activity in a participatory way. | Participants meet online synchronously (at the same time) using a digital tool. |
| <p>Considerations:</p> <ul style="list-style-type: none"> • 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) | <p>Considerations:</p> <ul style="list-style-type: none"> • Ideal when participants are not located in the same geographical area. • Ideal when conditions do not allow for physical contact, such as the implementation of public health measures or limited resources for commuting. • Can allow for a large number of participants. • Internet access and digital fluency are required. • Can be more cost-effective (if free digital tools are used). No need for sketching materials or printouts. |
| Hybrid workshop | |
| Some participants will gather in the same physical space and some of them will be attending remotely (at the same time) using a digital platform. | |
| <p>Considerations:</p> <ul style="list-style-type: none"> • Ideal when there are conditions to hold an in-person workshop but some participants are not located in the same geographical area. • It is important to create ways of interactions and connections with participants in the room and those who have joined remotely. • Ensure that everyone has access to the same tools whether they participate in the room or virtually. | |

Workshop general guidelines

Preparation

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

T7 Workshop Checklist

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. Let the facilitator know when there are 10, 5, and/or 2 minutes left for an activity so they can wrap up.
- Logistics/technical support: provides assistance in any logistical or technical issue that comes up especially in digital meetings, e.g. room control, screen share content, audio check etc.

After the workshop

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

In-person workshops

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

Space & furniture:

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

Drawing & sketching tools:

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

Other technical equipment:

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

Maps & documents:

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

T7 Workshop Checklist

Online workshops

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

| Purpose | Tools |
|--|--|
| 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 , Notion , Google Jamboard |
| Surveys | Google Forms , KoBo Toolbox (asynchronous) Mentimeter , Poll Everywhere (synchronous, for interactive questionnaires during presentations/workshops). |
| Invitations, event communications | Mail Chimp Social media (Whatsapp groups, Facebook, Instagram) |
| Project management | Trello , Monday , Asana |

Workshop evaluation questionnaire

Overall, how do you rate this workshop?

Poor Fair Good Very good Excellent

How much do you agree with the following statements?

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

| | | | | | |
|---|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|
| The workshop was useful | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| The workshop objectives were stated and clearly met | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| The workshop was well organised | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Activities and discussions were well facilitated | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| The length of the workshop sufficient | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |

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

.....

.....

.....

What did you enjoy the most?

T7 Workshop Checklist

.....

.....

.....

What did you enjoy the least?

.....

.....

.....

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

.....

.....

.....

(Additional questions)

.....

.....

.....

T9 Guiding Document Template

Description This tool supports the creation of the Terms of Reference (ToR) / Project Document (prodoc) regarding the planning process. The ToR defines the project's background, purpose, institutional and legal arrangements, 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, actors/ stakeholders involved 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 and decision-makers, political champions, 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

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

Context

- What is the project background?
- What is the legal and institutional 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
 - Identify options and priorities for climate change adaptation
- 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 (T10 Environmental and Social Screening Report Template for the Planning Process) ? What are potential solutions to address them?

Team

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

Outputs

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

Output 1: Analysis and diagnosis, which includes:

- Multiscale analysis

T9 Guiding Document Template

- Climate vulnerability assessment
- Topics (Governance, infrastructure, land use, environnement, etc.)
- Maps and scales
- Strategic vision

Output 2: Urban plan, which includes:

- Suitability map
- Sectoral plans
- Land use plan

Output 3: Implementation plan, which includes:

- Actions, activities, and strategies for the implementation of the plan
- Indicators, including how and when they will be measured
- Budget lines

Participation and communication

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

Activities

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

Work plan

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

Budget

- What is the project budget? How will financial resources be allocated?
 - See [T5 Project Budget template](#)

ESS Screening Report

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

T10 Environmental and Social Screening Report Template

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

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

Instructions

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

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

1. GENERAL INFORMATION OF THE PLAN/PROJECT

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

Potential Stakeholders interested in the Plan/Project

- List the stakeholders that should participate in the planning process. *Tip: use the table 1 of the tool T12 Stakeholders' Mapping*

- | | |
|---------|----------|
| 1. | 8. |
| 2. | 9. |
| 3. | 10. |
| 4. | 11. |
| 5. | 12. |
| 6. | 13. |
| 7. | 14. |

Existing regulations and requirements

- Does the country, region or city have any regulation related to Safeguard Systems (impact assessment, risk monitoring and management, action plan, etc)? No Yes
- If yes, does the regulation require that this type of work (City Planning Process) develops an Environmental and Social Impact Assessment (ESIA)? (yes/no/NA)
 No Yes:
- Is an ESIA process required by the donor requirements (if any)? No Yes

T10 Environmental and Social Screening Report Template

- If yes, are there gaps between the national/regional/city and the donor's Social systems and requirements? If yes, list the main differences.
 No Yes:.....

T10 Environmental and Social Screening Report Template

| 2. IDENTIFICATION OF RISKS | | | |
|---|--|---|---|
| Safeguards | Potential risks and impacts from the process | Rank the risk level | |
| | | Planning activities | City Plan |
| | | | Project |
| Labour and working conditions | Worker's rights may be neglected/violated. | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | The work could involve the use of child labour . | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | The work could involve the use of forced labour . | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | Freedom of workers' organisations or collective bargaining may be neglected. | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| Zero-carbon development, pollution prevention and resource efficiency | May particularly affect the safety to live, work and participate in urban life for persons in vulnerable situations. | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | During construction or operation, it generates pollutants or waste , which could affect human health or the environment. | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | During construction or operation, hazardous materials or pesticides , which could affect human health or the environment, may be used. | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | Requires a significant amount of water and/or energy , which implies competition with host communities (for instance, water for human consumption or economic activities) | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| Climate change resilience, community health, safety and security | Does the project adversely affect the resilience of ecosystems, urban systems, infrastructure or communities? | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | Activities, machinery or infrastructure associated to the project/programme could have adverse impact on the community' health and safety | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | In case of an accident or emergency situation, the effect on the surrounding community or in the ecosystem could be significant. | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | The planning/project area is vulnerable to health issues that can put the technical team at risk (e.g. epidemic, malaria, ebola, etc.) | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |

T10 Environmental and Social Screening Report Template

| | | | | | |
|----------------------------|---|--|---|---|---|
| | | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | The planning/project area encompasses areas of social tension (e.g. terrorism, community groups tensions, political violence, land dispute, etc.) | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | The planning/project area is vulnerable to climate and environmental hazards that can put the technical team at risk (e.g. strong storms, cyclones, etc.) | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | <i>Activities such as workshops and public consultations associated with the plan/project could have adverse impact on the participant's safety.</i> | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | <i>In case of an accident or emergency situation, the effect on the implementing body could be significant.</i> | | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | May adversely impact the marine ecosystem | | | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | May adversely impact natural habitats | | | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | May adversely impact critical habitats | | | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | May adversely impact legally protected areas (by national or international regulations) | | | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| Indigenous peoples | May adversely impact the rights, lands, resources and territories of the indigenous peoples | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| Cultural Heritage | May adversely impact cultural heritage properties and sites of archaeological, historical, cultural, artistic, and religious significance. May adversely impact intangible heritage (uses and traditions...) | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| Compliance with the Law | Application to environmental, building or other sectoral permits is a requirement by the local regulation | | <input type="checkbox"/> 0 (no) <input type="checkbox"/> 3 (yes) | <input type="checkbox"/> 0 (no) <input type="checkbox"/> 3 (yes) | <input type="checkbox"/> 0 (no) <input type="checkbox"/> 3 (yes) |
| | Activities, workshops, consultations, machinery or infrastructure imply/involve any violation to local, regional, national regulations (e.g constitution, declaration of civil rights). | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| Access and Spatial Justice | The equal distribution of the plan/project/programme benefits is not guaranteed | | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |

T10 Environmental and Social Screening Report Template

| | | | | |
|--------------|---|---|---|---|
| | May adversely result in any form of discrimination in the access to the project/programme benefits | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | Women and girls' participation in the plan/project development activities is a challenge due to cultural or political context. | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | The equal participation of indigenous people in participatory activities is uncertain (if there are indigenous people in the planning area). | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | The equal participation of migrants, refugees, stateless and internally displaced persons in participatory activities is uncertain (if these groups are present in the planning/project area). | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| Human rights | May adversely involve any form of discrimination in the access to the project benefits. | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | May imply the violation of any human right. | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 | <input type="checkbox"/> 0 <input type="checkbox"/> 1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 |
| | Total score: | | | |

3. CATEGORISATION OF RISK LEVEL

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

| | | | |
|-------------------------|--|---|---|
| Planning Process | <input type="checkbox"/> No risks or low risk <ul style="list-style-type: none"> ● Applies for: Total score is lower than 32 or and no item was scored with 2. ● Activities to consider in the workplan and budget: none Equivalent to UN-Habitat's ESS Category D2. | <input type="checkbox"/> Medium or high risk <ul style="list-style-type: none"> ● Applies for: Total score is above 32 or/and any item was scored with 3. ● Activities to consider in the workplan and budget: Development Impact Plan (DIP). | <input type="checkbox"/> Potential risks <ul style="list-style-type: none"> ● Applies for: Regardless of the score, the planning runs under an emergency/crisis or is part of a humanitarian action. ● Activities to consider in the workplan and budget: No Safeguard activity is necessary at this stage. However, during the planning process, new risks can be identified. Each time the local situation changes, retake the Screening Report to identify the new category of risks and activities to be implemented. |
| | | | |

T10 Environmental and Social Screening Report Template

| | | | |
|---|--|--|--|
| | | | Equivalent to UN-Habitat's ESS Category E. |
| <p>City/Neighbourhood Plan</p> | <p>No risks or low risk</p> <ul style="list-style-type: none"> ● Applies for: Total score is lower than 36 and no item was scored with 3. ● Activities to consider in the workplan and budget: Development Impact Plan (DIP). <p>Equivalent to UN-Habitat's ESS Category D1.</p> | <p>Medium or high risk</p> <ul style="list-style-type: none"> ● Applies for: Total score is above 36 and any item was scored with 3. ● Activities to consider in the workplan and budget: Scoping Report and Environmental and Social Action Plan (ESAP). <p>Equivalent to UN-Habitat's ESS Category C.</p> | <p>Potential risks</p> <ul style="list-style-type: none"> ● Applies for: Regardless of the score, the neighbourhood/city plan works an urban area under an emergency /crisis or is part of a humanitarian action. ● Activities to consider in the workplan and budget: If time allows, prepare a Development Impact Plan (DIP). Each time the situation changes, retake the Screening Report. <p>Equivalent to UN-Habitat's ESS Category E.</p> |
| <p>Project (Physical intervention)</p> | <p>No risks or low risk</p> <ul style="list-style-type: none"> ● Applies for: projects with limited physical interventions or total score is lower than 60 and no item was scored with 3. ● Activities to consider in the workplan and budget: Scoping Report and Environmental and Social Action Plan (ESAP). <p>Equivalent to UN-Habitat's ESS Category C and B2.</p> | <p>Medium or high risk</p> <ul style="list-style-type: none"> ● Applies for: ● Activities to consider in the workplan and budget: Scoping Report and Environmental and Social Impact Assessment Report (ESIA). <p>Equivalent to UN-Habitat's ESS Category A, B1 and B2..</p> | <p>Potential risks</p> <ul style="list-style-type: none"> ● Applies for: Regardless of the score, the project is designed to respond to an emergency/crisis or is part of a humanitarian action. ● Activities to consider in the workplan and budget: Environmental and Social Action Plan. Each time the situation changes, retake the Screening Report. <p>Equivalent to UN-Habitat's ESS Category E.</p> |

T11 Environmental and Social Development Impact Plan (DIP) Template

Description This tool aims to support assessment of possible future impacts/risks identified in the Screening Report, and prepare a monitoring plan. and prepare a simplified monitoring plan.

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

Instructions

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

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

1. ACTIVITIES OVERVIEW AND POTENTIAL ASSOCIATED RISKS

| Nº | Name of activity | Description | Applicable safeguards and potential risk (explain) |
|----|------------------|-------------|--|
| | | | |
| | | | |
| | | | |

2. FOLLOW-UP ACTIVITIES AND TIMELINE

| Nº | Duration | Proposed observation timeline | Means of monitoring each associated impact | Stakeholder responsible for monitoring |
|----|----------|-------------------------------|--|--|
| | | | | |
| | | | | |
| | | | | |

T12 Stakeholders' Mapping

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

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

Instructions

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

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

Include gender responsiveness and ensure the involvement of women and youth as well vulnerable and marginalised groups in the process.

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

Power: The level of institutional, financial and/or social influence and power in the decision-making process.

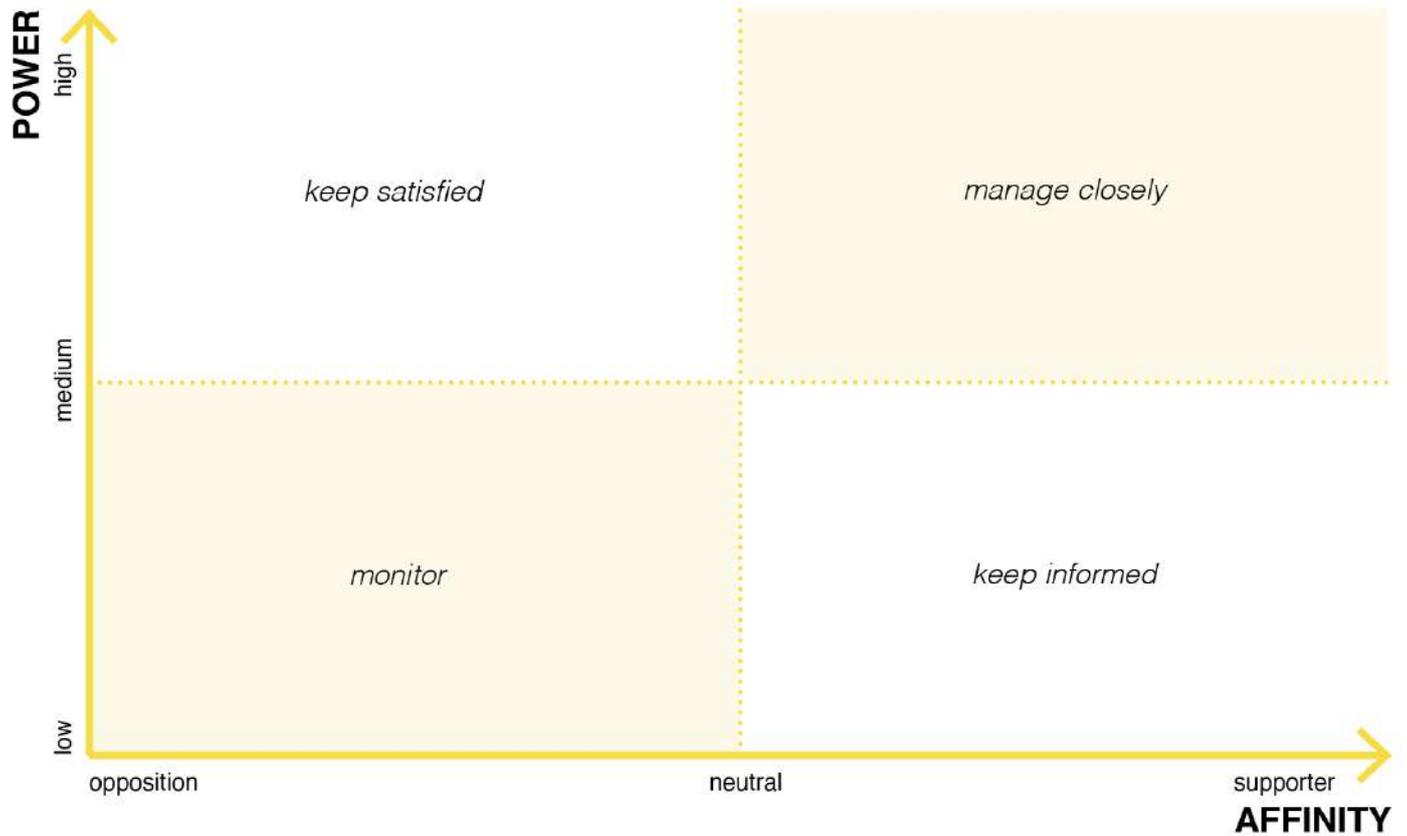
Affinity: The level of interest, involvement and/or commitment to the project, in terms of their support or opposition to the project.

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

3. Using arrows and lines, draw and discuss the different types of relationships between the identified stakeholders (experience working together, willing to collaborate, conflictive, neutral, etc.).
4. The matrix suggests different ways to engage with stakeholders according to what quadrant they are placed on (keep satisfied, monitor, manage closely, and keep informed). Those with a higher power are likely to be the most useful supporters or most dangerous opponents. Using the matrix, discuss how each stakeholder should be involved along the planning process. These might include methods to gather input, opinions, and/or feedback or ways to keep them updated about the project. Some examples include:

T12 Stakeholders' Mapping

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



T12 Stakeholders' Mapping

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

| Government institutions who should be involved in the planning process | |
|--|-----------------------|
| Names of institutions and authorities | Engagement strategies |
| | |
| | |
| | |
| | |
| | |
| Non-government stakeholders who should be involved because of their interest or influence on the project | |
| Names of stakeholders | Engagement strategies |
| Private sector | |
| | |
| | |
| | |
| NGOs, civil society associations | |
| | |
| | |
| | |
| Religious and/or ethnic groups | |
| | |
| | |
| Women and girls (associations or organisations) | |
| | |
| | |
| Children and youth (associations or organisations) | |
| | |
| | |

T12 Stakeholders' Mapping

| | |
|--|-------------------------|
| Older persons (associations or organisations) | |
| Persons with disabilities (associations or organisations) | |
| Migrants, refugees, stateless, internally displaced persons or indigenous people (associations or organisations, if any) | |
| Other vulnerable and minority groups | |
| Other independent actors or relevant stakeholders | |

Steering and advisory committees

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

Write down the names of the steering committee members:

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

The **advisory committee** provides technical expertise and empirical knowledge to ensure that the plan responds to different perspectives and needs. It is composed by a heterogeneous group of experts such as members of the



T12 Stakeholders' Mapping

government, private sector, academia, NGOs, vulnerable groups, international organisations, and key experts. They are substantially involved during the technical activities and workshops to support the plan development.

Write down the names of the advisory committee members:

.....

.....

.....

Tip: *Gender-responsive participation can be ensure with some concrete actions such as:*

- *Consider consultation with male and female stakeholders separately*
- *Identify time and location of consultation meetings suitable and comfortable for both men and women*
- *Consider appropriate ways of communication based on different gender and age access to information technology and literacy.*
- *Consider setting minimum quota and progress targets.*

T13 Participation Plan Guide

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

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

Instructions

Section 1. Implementation Plan

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

1. ACTIVITY (Add name)

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

| | |
|-------------------------|--------------------------------------|
| Objective: | Goal (expected outputs) |
| | |

Audience: Committee Technical Experts General Public Community

Type: In-person Remote Hybrid **Timing:** Synchronous Asynchronous

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

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

| | |
|------------------------|-----------------------------|
| Duration: | Date and Time: |
|------------------------|-----------------------------|

| | |
|--------------------------------|------------------------|
| Location: | Facilitator(s): |
| Digital platform: | |

T13 Participation Plan Guide

Participants

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

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

Vulnerable Groups

A particular attention should be given to minority, marginalised and vulnerable peoples that have been identified in specific cities and target areas, they should be consulted and their interests or concerns taken into account. List who are the vulnerable groups that need to be involved in the process and may need a different approach

1.
2.
3.
4.
5.

Materials needed

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

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

Agenda

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

| Step | Duration | Notes |
|---------|----------|-------|
| 1. | | |
| 2. | | |
| 3. | | |

T13 Participation Plan Guide

Section 2. Outreach Plan

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

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

1. OUTREACH ACTIVITY (Add name)

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

Objective:

General Audience: Committees Technical Experts General Public Vulnerable group

Target audience (key population groups or stakeholders)

.....

Participatory Activity Associated:

.....

Type: Physical Digital

Communication Channel(s): Social Media Posters Website Events Radio
 Print Media (newspapers and magazines) Audiovisual (TV) Other

Release Date and Time:

Run time (if applicable)

Content

Define what information needs to be transmitted to the audience and how to do it.

.....

Materials needed

List all of the materials needed for the activity. *Tip: think about materials to develop (graphics, audios, social media account/pages)*

1.
2.
3.
4.

Section 3. Risks and Mitigation Strategy

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

T13 Participation Plan Guide

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

Risk Analysis

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

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

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

T14 Desk and Field Research - Data Checklist

Instructions This spreadsheet contains a list of information and data in different formats that can be collected for the analysis and diagnosis.

The aim is to use it as a working tool to monitor the data already collected, their names, sources, etc.

1. Review the rows and select those datasets that are relevant to collect for the context in which the plan is made.

2. As the information/data has been collected, mark the columns: status, file name, source, year, link and coordinate system. This table will serve as a repository for all data used in the project.

| Item | Theme | Data list | Description [1] (information needed) | Type (shapefile, raster, table) | Geometry (polygon, line, point) | Tips (Where to find data) | Check [2] | Source | | Date (year) | Comments (internal comments for the technical team) | Tutorial links (support open source videos for the technical team) | Projects (internal projects that can be used as examples) | |
|---|-------------------------|---|---|------------------------------------|------------------------------------|---------------------------------|-----------|--|-----------------|-----------------------------------|--|---|--|--|
| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | | |
| 0 | Historical urban growth | metropolitan | | shapefile | polygon | | | | | | | | | |
| | | municipal | | shapefile | polygon | | | | | | | | | |
| | | continental | | shapefile | polygon | DIVA-GIS/ HDX | | | | | | | | |
| | | national | | shapefile | polygon | DIVA-GIS/ HDX | | | | Boundary data | | | | |
| | | regional | | shapefile | polygon | DIVA-GIS/ HDX | | ✓ | | OpenStreetMap | | | | |
| | | provincial | | shapefile | polygon | DIVA-GIS | | ✓ | | OpenStreetMap | | | | |
| | | metropolitan | | shapefile | polygon | DIVA-GIS | | ✓ | | OpenStreetMap | | | | |
| | | municipal | | shapefile | polygon | municipalities/ land offices | | ✓ | | OpenStreetMap | | | | |
| | | cantonal | | shapefile | polygon | municipalities/ land offices | | | | | | | | |
| | | marine boundaries | | shapefile | polygon | EEZ | | | | Marine boundaries | 2022 | | | |
| 1 | Governance | districts | | shapefile | polygon | municipalities/ land offices | | ✓ | | | | | | |
| | | sectors | | shapefile | polygon | municipalities/ land offices | | | | | | | | |
| | | colonies | | shapefile | polygon | municipalities/ land offices | | ✗ | | | | | | |
| | | blocks | | shapefile | polygon | municipalities/ land offices | | | | | | | | |
| | | plots | | shapefile | polygon | municipalities/ land offices | | | | | | | | |
| | | jurisdictions | | table / shape | | | | | | | | | | |
| | | assemblies | | table | | | | | | | | | | |
| | | advisory and director boards | | table | | | | | | | | | | |
| | | General Law on Human Settlements, Land Use Planning and Urban Development | | pdf | | | | | | | | | | |
| | | General Law on Mobility and Road Safety | | pdf | | | | | | | | | Activity 2 Review of legal framework | |
| General Law on Human Settlements, Land Use Planning and Urban Development (Municipal) | | pdf | | | | | | | | | | | | |
| Sustainable Urban Development Plan | | pdf | | | | | | | | | | | | |
| Municipal Development Plan | | pdf | | | | | | | | | | | | |
| Climate Action Plan | | pdf | | | | | | | | | | | | |
| Indicators 2030 | | pdf | | | | | | | | | | | | |
| Risk Atlas | | pdf | | | | | | | | | | | | |

T14 Desk and Field Research - Data Checklist

Instructions

This spreadsheet contains a list of information and data in different formats that can be collected for the analysis and diagnosis.

The aim is to use it as a working tool to monitor the data already collected, their names, sources, etc.

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|-------|--------------|-------------------|---|------------------------------------|------------------------------------|------------------------------|-----------|--|---|--|---|--|--|---------|---------|
| | | | | | | | | | | | | | | | |
| Water | water bodies | oceans | | shapefile | polygon | OSM (NDWI) | | | Global Surface Water Explorer | | Where there is no data, a remote sensing water analysis can be done NDWI -on raster data to identify water features | Landsat NDWI | Adaptation fund (Ghana and Ivory Coast) | | |
| | | lakes | | shapefile | polygon | OSM (NDWI) | | | Global Surface Water Explorer | | Where there is no data, a remote sensing water analysis can be done NDWI -on raster data to identify water features | Landsat NDWI | Adaptation fund (Ghana and Ivory Coast) | | |
| | | ponds | | shapefile | polygon | OSM (NDWI) | | | Global Surface Water Explorer | | Where there is no data, a remote sensing water analysis can be done NDWI -on raster data to identify water features | Landsat NDWI | Adaptation fund (Ghana and Ivory Coast) | | |
| | | rivers | | shapefile | lines | OSM (NDWI) | | | Global Surface Water Explorer | | Where there is no data, a remote sensing water analysis can be done NDWI -on raster data to identify water features | Landsat NDWI | Adaptation fund (Ghana and Ivory Coast) | | |
| | | streams | | shapefile | lines | OSM (NDWI) | | | Global Surface Water Explorer | | Where there is no data, a remote sensing water analysis can be done NDWI -on raster data to identify water features | Landsat NDWI | Adaptation fund (Ghana and Ivory Coast) | | |
| | | canals | | shapefile | lines | OSM (NDWI) | | | Global Surface Water Explorer | | Where there is no data, a remote sensing water analysis can be done NDWI -on raster data to identify water features | Landsat NDWI | Adaptation fund (Ghana and Ivory Coast) | | |
| | | groundwater level | | shapefile | polygon | OSM | | | Global Groundwater Information System | | | | | Go Blue | |
| | | aquifers | | shapefile | points | OSM | | | Global Groundwater Information System | | | | | | Go Blue |
| | | wells | | shapefile | points | OSM | | | Global Groundwater Information System | | | | | | Go Blue |
| | | macro-basins | | shapefile | polygon | Water basins | | | | Watershed download, River Basins - UN, Global Impact | | Areas with gaps data can be computed by running an analysis of Digital Elevation Model (DEM)/SRTM raster | | | |
| | | micro-basins | | shapefile | polygon | Water basins | | | | Watershed download, River Basins - UN, Global Impact | | Areas with gaps data can be computed by running an analysis of Digital Elevation Model (DEM)/SRTM raster | | | |
| | | tributaries | | shapefile | polygon | UN Global Compact | | | | | | | | | |

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|--------------------------|-----------------|-----------|---|------------------------------------|------------------------------------|--|-----------|--|--|----------------|---|---|--|
| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | |
| 2 Natural Environment | wetland habitat | lakes | shapetile | shapetile | polygon | OSM (NDWI) | | | USGS (NWJ) Wetlands mapper | | Where there is no data, a remote sensing wetland analysis can be done CMRI -on raster data to identify water features | | Conakry (SANITA) |
| | | lagoons | shapetile | shapetile | polygon | OSM (NDWI) | | | USGS (NWJ) Wetlands mapper | | Where there is no data, a remote sensing wetland analysis can be done CMRI -on raster data to identify water features | | Conakry (SANITA) |
| | | ponds | shapetile | shapetile | polygon | OSM (NDWI) | | | USGS (NWJ) Wetlands mapper | | Where there is no data, a remote sensing wetland analysis can be done CMRI -on raster data to identify water features | | Conakry (SANITA) |
| | | wetlands | shapetile | shapetile | polygon | USGS (CMRI) | | ✓ | USGS (NWJ) Wetlands mapper | | Where there is no data, a remote sensing wetland analysis can be done CMRI -on raster data to identify water features | | Conakry (SANITA) |
| | | swamps | shapetile | shapetile | polygon | USGS (CMRI) | | | USGS (NWJ) Wetlands mapper | | Where there is no data, a remote sensing wetland analysis can be done CMRI -on raster data to identify water features | | Conakry (SANITA) |
| | | reefs | shapetile | shapetile | polygon | Marine habitats download | | ✓ | Marine habitats download | | Depend on mapped marine areas | | Go Blue |
| | | mangroves | shapetile | shapetile | polygon | Marine habitats download | | | Marine habitats download | | Depend on mapped marine areas | | Go Blue |
| | | marshes | shapetile | shapetile | polygon | Marine habitats download | | X | Marine habitats download | | Depend on mapped marine areas | | Go Blue |
| | | estuaries | shapetile | shapetile | polygon | Marine habitats download | | | Marine habitats download | | Depend on mapped marine areas | | Go Blue |
| | | lagoons | shapetile | shapetile | polygon | Marine habitats download | | | Marine habitats download | | Depend on mapped marine areas | | Go Blue |
| | | forests | shapetile | shapetile | polygon | USGS (NDVI) | | | GeoPlantNet, Copernicus (NDVI) | | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | Supervised Imagery Classification | Conakry (SANITA) |
| | | parks | shapetile | shapetile | polygon | USGS (NDVI) | | | GeoPlantNet, Copernicus (NDVI) | | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Conakry (SANITA) |

Ecosystems

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|-----------------------------------|-----------|------------------|--|------------------------------------|-------------------------------------|------------------------------|-----------|---|-----------------|----------------|---|---|--|
| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | |
| 3 | Territory | vegetation cover | urban gardens | shapetile | polygon / points | USGS (NDVI) | | GeoPlantNet, Copernicus (NDVI) | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Conakry (SANITA) |
| | | | green roofs | shapetile | polygon / points | USGS (NDVI) | | GeoPlantNet, Copernicus (NDVI) | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Conakry (SANITA) |
| | | | urban trees | shapetile | points | USGS (NDVI) | | GeoPlantNet, Copernicus (NDVI) | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Conakry (SANITA) |
| | | | bushes | shapetile | points | USGS (NDVI) | | GeoPlantNet, Copernicus (NDVI) | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Conakry (SANITA) |
| | | | soil type classification and geographic location | raster | - | FAO/ SOIL GRID | | SoilGrid data | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Go Blue |
| | | | suitability for urban development (support) | raster | - | FAO/ SOIL GRID | | SoilGrid data | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Go Blue |
| | | | suitability for agricultural development (nutrients) | raster | - | FAO/ SOIL GRID | | SoilGrid data | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Go Blue |
| | | | soil depth | raster | - | FAO/ SOIL GRID | | SoilGrid data | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Go Blue |
| | | | soil texture | raster | - | FAO/ SOIL GRID | | SoilGrid data | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Go Blue |
| | | | elevation contours | shapetile | lines / polygon | USGS (DEM) | | SRTM (DEM) Download, Geofolio | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Go Blue |
| terrain slope (%) | raster | - | USGS (STRM) | | SRTM (DEM) Download | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Go Blue | | | |
| hillshade | raster | - | USGS (STRM) | | SRTM (DEM) Download | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Go Blue | | | |
| identification of landslide zones | raster | - | USGS (STRM) | | SRTM (DEM) Download | | 2022 | Where there is no data, a remote sensing analysis can be done NDVI -on raster data to identify water features or satellite imagery classification | | Go Blue | | | |

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|------------------|-------|--|---|------------------------------------|------------------------------------|---|-----------|--|--|----------------|--|---|--|
| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | |
| | | bathymetry | | raster | - | | | | | | | | |
| total population | | housing density at city/district level | | shapefile/raster /table | | country census bureau of statistics | | | Population Dynamics (US) | | | | |
| | | housing density at neighbourhood/colony level | | shapefile/raster /table | | country census bureau of statistics | ✓ | | Population Dynamics (US) | | | | |
| | | housing density at block/plot level | | shapefile/raster /table | | country census bureau of statistics | ✓ | | Population Dynamics (US) | | | | |
| | | age and gender distribution at block/plot level | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | | | | | |
| demography | | population with a disability: general sex and age groups block/lot level | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | | | | | |
| | | distribution by social vulnerability at block/lot level | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | | | | | |
| | | gender distribution at block/lot level | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | | | | | |
| | | distribution by female headship at block/lot level | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | | | | | |
| | | immigration distribution block / lot level | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | | | | | |
| | | distribution by ethnicity block / lot level | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | | | | | |
| health | | infant mortality rate | | table | - | | | | GNHA Six Dimensions | | | | |
| | | population with health insurance (%) | | table | - | | | | GNHA Six Dimensions | | | | |

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|------|---------|--|---|------------------------------------|------------------------------------|---|-----------|---------------------------------------|---------------------|----------------|---|---|--|
| | | | | | | | | Final Source (Name of Institution) | (Global source) | | | | |
| | | access to sanitary facilities | | table / raster | - | local government, country census bureau of statistics | | | GNHA Six Dimensions | | | | |
| | | per capita/ per household income at city/district level | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | Metroverse | | Socio-economic analysis is often used to complement data where gaps exist | | |
| | | per capita/ per household income at neighbourhood/colony level | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | Metroverse | | Socio-economic analysis is often used to complement data where gaps exist | | |
| | | per capita/ per household income at block/plot level | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | Metroverse | | Socio-economic analysis is often used to complement data where gaps exist | | |
| | | people employed formally and informally (%) | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | Metroverse | | Socio-economic analysis is often used to complement data where gaps exist | | |
| | economy | economic activity and employment | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | Metroverse | | Socio-economic analysis is often used to complement data where gaps exist | | |
| | | economic activity and schooling | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | | | | | |
| | | non-economic activity | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | | | | | |
| | | population actively working (%) | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | Metroverse | | Socio-economic analysis is often used to complement data where gaps exist | | |
| | | household savings capacity | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | | | Metroverse | | Socio-economic analysis is often used to complement data where gaps exist | | |
| | | public spending | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | ✓ | | Metroverse | | Socio-economic analysis is often used to complement data where gaps exist | | |
| | | per capita spending | | shapefile/raster /table | polygon / points | local government, country census bureau of statistics | ✓ | | Metroverse | | Socio-economic analysis is often used to complement data where gaps exist | | |

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| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | | |
| education | | education level per household / per colonia / AGEB | | table / raster | polygon / points | | | | | | | | | |
| | | adult literacy rate | | table | polygon / points | | | | | | | | | |
| | | literacy | | table | polygon / points | | | | | | | | | |
| | | child school dropout rates per household / per colonia / AGEB | | table | polygon / points | | | | | | | | | |
| informal settlements | | geographic location and boundaries | | shapefile | polygon | local governments, country census bureau of statistics | | | The Atlas of Informality | | Participatory mapping supports identification of some informal areas | | | |
| | | total area (km2) | | table | - | local governments, country census bureau of statistics | | | The Atlas of Informality | | Participatory mapping supports identification of some informal areas | | | |
| | | population size | | table | - | local governments, country census bureau of statistics | | | The Atlas of Informality | | Participatory mapping supports identification of some informal areas | | | |
| migration | | migrant population size and demographics | The migration factors, numbers of the population and ethnicity of the immigrants | table | | local governments, country census bureau of statistics | | | | | | | | |
| | | areas of high migration pressure | | raster | - | local governments, country census bureau of statistics | | | | | | | | |
| | | main migrant neighborhoods | | shapefile | polygon | local governments, country census bureau of statistics | | | | | | | | |
| | | main place of origin | | table | - | local governments, country census bureau of statistics | | | | | | | | |
| | | actual built-up area extracted from satellite imagery | | shapefile | polygon | HDX/OSM | | | Building footprint | 2020 | | | | |

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|---------------|-------|---|---|------------------------------------|------------------------------------|----------------------------------|-----------|--|-----------------|----------------|---|---|--|--|--|
| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | | | |
| built-up area | | built-up area of 3 different years extracted from imagery comparative building heights changes in construction parameters areas of major vertical growth | | shapetile | polygon | GHS/ Global Land Cover/ USGS | | | | | Satellite imagery analysis | | Mozambique, Conakry | | |
| | | | | raster | - | | | | | | | | | | |
| | | | | table | - | | | | | | | | | | |
| | | | | raster | - | | | | | | | | | | |
| patrimony | | archeological sites buildings with historical value local landmarks | | shapetile | polygon / points | government - maps from documents | | | | | Socioeconomic survey will update the data on local heritage sites | | Guinea Bissau | | |
| | | | | shapetile | polygon / points | government - maps from documents | | | | | | | | | |
| | | | | shapetile | polygon / points | collaborative mapping | | | | | | | | | |
| commercial | | markets shopping malls supermarkets local stores | | shapetile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | | | |
| | | | | shapetile | points | OSM | | | | | | | | | |
| | | | | shapetile | points | OSM | | | | | | | | | |
| | | | | shapetile | points | OSM | | | | | | | | | |
| services | | restaurants financial institutions leisure and culture tourist sites | | shapetile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | | | |
| | | | | shapetile | points | OSM | | | | | | | | | |
| | | | | shapetile | points | OSM | | | | | | | | | |

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|-------------|---------|-----------------------------------|---|------------------------------------|------------------------------------|------------------------------|-----------|--|-----------------|----------------|---|---|--|
| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | |
| | tourism | open spaces with historical value | | shapefile | polygon / points | | | | | | | | |
| | | places of interest | | raster | polygon / points | | | | | | | | |
| residential | | multi-unit housing complex | | raster | - | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | multi-unit building | | raster | - | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | single-unit house | | raster | - | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | student / senior residences | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | temporary lodging / hotels | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| educational | | universities | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | institutes | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | technical schools | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | colleges | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | schools | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | kindergartens | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | | | | | | | | | | | | |

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|---------------|--------------------|-----------|---|------------------------------------|------------------------------------|------------------------------|-----------|--|-------------------------------|-------------------------------|---|---|--|--|
| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | | |
| industry | factories | | | shapefile | polygon / points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| | warehouses | | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| | workshops | | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| health | hospitals | | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| | clinics | | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| | health centers | | | shapefile | points | OSM | | | | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| public spaces | squares | | | shapefile | polygon / points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| | plazuelas | | | shapefile | polygon / points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| | metropolitan parks | | | shapefile | polygon / points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| | riverside parks | | | shapefile | polygon | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| | district parks | | | shapefile | polygon / points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | | |
| | | | | | shapefile | polygon / points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | | | | shapefile | polygon / points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | |

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|------|-------------------|---|---|------------------------------------|------------------------------------|------------------------------|-----------|--|---|----------------|---|---|--|
| | | | | | | | | | | | | | |
| | public spaces | recreational spaces | | shapefile | polygon / points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | open sports infrastructure | | shapefile | polygon / points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | children playgrounds | | shapefile | polygon / points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | parklets | | shapefile | points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | benches/ tables | | shapefile | points | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | | beaches | | shapefile | polygon | OSM | | | OpenStreetMap | | Base data can be from existing plans within the municipalities/towns/urban reas | | |
| | economic entities | main business by sector | | table | - | government | ✓ | | | | | | |
| | | economic clusters or concentrations | | | | government | ✓ | | | | | | |
| | | number of employees | | table | - | government | | | | | | | |
| | | influence area | | raster | - | government | ✓ | | | | | | |
| | productive areas | agricultural areas and geographic delimitation | | shapefile | polygon | | | | Geofolio, Copernicus Global Land Cover Viewer | | | | |
| | | livestock areas and geographic delimitation | | shapefile | polygon | | | | Copernicus Global Land Cover Viewer | | | | |
| | | aquaculture areas and geographic delimitation | | shapefile | polygon | | | | Copernicus Global Land Cover Viewer | | | | |
| | | forest production areas and geographic delimitation | | shapefile | polygon | | | | Geofolio, Copernicus Global Land Cover Viewer | | | | |
| | | mining areas | | shapefile | polygon | | | | Geofolio, Copernicus Global Land Cover Viewer | | | | |
| | | national parks | | shapefile | polygon | | | | Regional categorised data (IUCN Protected Planet) | | Data is best collaborated, witho what the county/city has on its reserves, as some local reserves are not openly available. | | Go Blue |

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|---------------|-------|--|---|------------------------------------|------------------------------------|------------------------------|-----------|--|---|----------------|--|---|--|--|--|
| | | | | | | | | | | | | | | | |
| Land coverage | | reserves/ natural sanctuary | | shapefile | polygon | | X | | Regional categorised data (IUCN Protected Planet) | | Data is best collaborated witho what the county/city has on its reserves, as some local reserves are not openly available. | | Go Blue | | |
| | | marine reserve | | shapefile | polygon | | | | Regional categorised data (IUCN Protected Planet) | | Data is best collaborated witho what the county/city has on its reserves, as some local reserves are not openly available. | | Go Blue | | |
| | | conservation concessions | | shapefile | polygon | | | | Regional categorised data (IUCN Protected Planet) | | Data is best collaborated witho what the county/city has on its reserves, as some local reserves are not openly available. | | Go Blue | | |
| | | protected forests | | shapefile | polygon | | | | Regional categorised data (IUCN Protected Planet) | | Data is best collaborated witho what the county/city has on its reserves, as some local reserves are not openly available. | | Go Blue | | |
| | | Indigenous Protected and Conserved Areas | | shapefile | polygon | | | | Regional categorised data (IUCN Protected Planet) | | Data is best collaborated witho what the county/city has on its reserves, as some local reserves are not openly available. | | Go Blue | | |
| | | Reserve zones | | shapefile | polygon | | | | Regional categorised data (IUCN Protected Planet) | | Data is best collaborated witho what the county/city has on its reserves, as some local reserves are not openly available. | | Go Blue | | |
| | | biological corridors | | shapefile | polygon | | | | Regional categorised data (IUCN Protected Planet) | | Data is best collaborated witho what the county/city has on its reserves, as some local reserves are not openly available. | | Go Blue | | |
| | | wildlife refuge | | shapefile | polygon | | | | Regional categorised data (IUCN Protected Planet) | | Data is best collaborated witho what the county/city has on its reserves, as some local reserves are not openly available. | | Go Blue | | |
| | | protected landscape areas | | shapefile | polygon | | | | Regional categorised data (IUCN Protected Planet) | | Data is best collaborated witho what the county/city has on its reserves, as some local reserves are not openly available. | | Go Blue | | |
| | | national roads | | shapefile | lines | OSM | | | OpenStreetMap | | | | | | |
| | | metropolitan roads | | shapefile | lines | OSM | | | OpenStreetMap | | | | | | |
| | | streets and avenues | | shapefile | lines | OSM | | | OpenStreetMap | | | | | | |
| | | sidewalks and pedestrian areas | | shapefile | lines | OSM | | | | | | | | | |

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|------|----------|--|---|------------------------------------|------------------------------------|------------------------------|-----------|---|-----------------|----------------|--|---|--|--|--|--|
| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | | | | |
| 7 | Mobility | transport-network bike lanes system transport nodes / clusters infrastructure according to national/metropolitan/zonal scale ports airports train stations bus stations subway stations main routes per system interconnection of transport networks percentage of population using public vs. private transportation | (information needed) | shapefile | lines | OSM | | | | | | | | | | |
| | | | | shapefile | polygon / points | local government | | | | | | | | | | |
| | | | | shapefile | polygon / points | local government | | | | | | | | | | |
| | | | | shapefile | polygon | local government | | | | | | | | | | |
| | | | | shapefile | polygon / points | local government | | | | | | | | | | |
| | | | | shapefile | points | local government | | | | | | | | | | |
| | | | | shapefile | points | local government | | | | | | | | | | |
| | | | | shapefile | lines | local government | | | | | | | | | | |
| | | | | raster | - | local government | | | | | | | | | | |
| | | | | table | - | local government | | | | | | | | | | |
| 8 | Housing | density accessibility number of inhabitants per housing unit inhabitants per m2 of housing unit number of rooms age state of conservation level of precariousness type of floor electricity services and goods water and sanitation goods and ICTs | (information needed) | table / raster | - | local government | | | | | | | | | | |
| | | | | shapefile/raster /table | polygon / points | government | | | | | | | | | | |
| | | | | shapefile/raster /table | polygon / points | government | | | | | | | | | | |
| | | | | shapefile/raster /table | polygon / points | government | | | | | | | | | | |
| | | | | shapefile/raster /table | polygon / points | government | | | | | | | | | | |
| | | | | shapefile/raster /table | polygon / points | government | | | | | | | | | | |
| | | | | shapefile/raster /table | polygon / points | government | | | | | | | | | | |
| | | | | shapefile/raster /table | polygon / points | government | | | | | | | | | | |
| | | | | shapefile/raster /table | polygon / points | government | | | | | | | | | | |
| | | | | shapefile/raster /table | polygon / points | government | | | | | | | | | | |

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|--------------------------|--|--|---|------------------------------------|------------------------------------|------------------------------|-----------|--|--|----------------|--|---|--|--|
| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | | |
| materials | structural vulnerability | predominant building materials | shapelier/raster/table | shapelier/raster/points | local government | | | | | | | | | |
| | | structural vulnerability | shapelier/raster/table | shapelier/raster/points | local government | | | | | | | | | |
| accessibility | proximity to roads and/or public transportation routes | average distances to facilities and services | shapelier/raster/table | shapelier/raster/points | local government | | | | | | | | | |
| | | proximity to roads and/or public transportation routes | shapelier/raster/table | shapelier/raster/points | local government | | | | | | | | | |
| water and sewerage | distribution centers | distribution centers | shapelier | shapelier/points | local government | | | | World Development Indicators | | | | | |
| | | water service network | shapelier | lines | local government | | | | World Development Indicators | | | | | |
| | | sewage network | shapelier | lines | local government | | | | World Development Indicators | | | | | |
| | | public sewer system | shapelier | lines | local government | | | | World Development Indicators | | | | | |
| | | storm drainage layout | shapelier | lines | local government | | | | World Development Indicators | | | | | |
| | | service area | table / raster | - | local government | | | | World Development Indicators | | | | | |
| | | urban supplies | shapelier | points | local government | | | | World Development Indicators | | | | | |
| | | water sources (used and unused) | shapelier | points | local government | | | | World Development Indicators | | | | | |
| | | water recharge zones | shapelier | polygons | local government | | | | World Development Indicators | | | | | |
| | | wastewater treatment plants and state | shapelier | polygons/points | local government | | | | World Development Indicators | | | | | |
| | | per capita consumption vs. availability | table | - | local government | | | | World Development Indicators | | | | | |
| | | amount of treated water | table | - | local government | | | | World Development Indicators | | | | | |
| Basic services | drainage outfall areas | drainage outfall areas | shape | polygons/points | local government | | | | World Development Indicators | | | | | |
| | | reservoirs | shape | polygons | local government | | | | World Development Indicators | | | | | |
| | | dams | shape | polygons | local government | | | | World Development Indicators | | | | | |
| | | waste collection/transportation networks | shape | polygons/points | local government | | | | What a Waste Database | | | | | |
| waste production volumes | per capita production vs. recovery | waste production volumes | table | - | local government | | | | What a Waste Database | | | | | |
| | | per capita production vs. recovery | table | - | local government | | | | What a Waste Database | | | | | |

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|---------------------|--|---|---|------------------------------------|------------------------------------|------------------------------|-----------|--|-----------------------|------------------------------|--|---|--|
| | | | | | | | | Final Source (Name of Institution) [3] | (Global source) | | | | |
| waste management | waste management centers and state industrial waste generation | waste management centers and state | shapefile | shapefile | polygon / points | local government | | | What a Waste Database | | | | |
| | | industrial waste generation | table | table | - | local government | | | What a Waste Database | | | | |
| | | demolition waste generation | table | table | - | local government | | | | What a Waste Database | | | |
| | | landfills | shapefile | shapefile | polygon / points | local government | | | | What a Waste Database | | | |
| | | service area | table / raster | table / raster | - | local government | | | | World Development Indicators | | | |
| | electricity and street lighting | substation locations | shapefile | shapefile | polygon / points | local government | | | | World Development Indicators | | | |
| | | distribution lines | shapefile | shapefile | lines | local government | | | | World Development Indicators | | | |
| | | street lighting | shapefile | shapefile | points | local government | | | | World Development Indicators | | | |
| | | generation by source type (%) | table | table | - | local government | | | | World Development Indicators | | | |
| | | per capita consumption vs. availability | table | table | - | local government | | | | World Development Indicators | | | |
| telecommunication S | internet access mobile network service area antenna/repeater locations | Alternative energy production plants (solar/wind) | shapefile | shapefile | polygon / points | local government | | | | World Development Indicators | | | |
| | | internet access | table / raster | table / raster | - | local government | | | | World Development Indicators | | | |
| | | mobile network service area | table / raster | table / raster | - | local government | | | | World Development Indicators | | | |
| | | antenna/repeater locations | shapefile | shapefile | polygon / points | local government | | | | World Development Indicators | | | |
| | | historical temperature variations | table | table | - | local government | | | | Global Temperature Data | | | |
| | temperature | historical number of above-average days | table | table | - | local government | | | | Global Temperature Data | | | |
| | | heat islands | raster | raster | - | local government | | | | Global Temperature Data | | | |
| | | solar radiation | table / raster | table / raster | - | local government | | | | Global Temperature Data | | | |
| | | temperature projections (min, max, avg.) (30 years) | table | table | - | local government | | | | Global Temperature Data | | | |
| | | surface temperature | table / raster | table / raster | - | local government | | | | Global Temperature Data | | | |
| air speed | table / raster | table / raster | - | local government | | | | Global Temperature Data | | | | | |
| climate units | shapefile / raster | shapefile / raster | polygon | | | | | | | | | | |

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|----------|--|---|---|------------------------------------|------------------------------------|------------------------------|--------------------------------------|--|---|-------------------------------|--|---|--|--|--|--|
| | | | | | | | | | | | | | | | | |
| 10 | Disaster risk management and climate vulnerability | historical extreme rainfall events average annual rainfall floodable area (%) flood risk areas road length flooded (%) building area flooded (%) number of critical facilities flooded (%) number of flooded community facilities (%) population affected by the risk of flooding (%) precipitation projections (30 years) storm frequency flood level (meters) water balance | (information needed) | table | - | | | | Global Rainfall Data | | | | | | | |
| | | | | table | - | | | | Global Rainfall Data | | | | | | | |
| | | | | table | - | | | | | Flooding risk | | | | | | |
| | | | | shapefile | polygon | | | | | Flooding risk | | | | | | |
| | | | | table | - | | | | | Flooding risk | | | | | | |
| | | | | table / raster | - | | | | | Flooding risk | | | | | | |
| | | | | table / raster | - | | | | | Flooding risk | | | | | | |
| | | | | table / raster | - | | | | | Flooding risk | | | | | | |
| | | | | table / raster | - | | | | | Flooding risk | | | | | | |
| | | | | table | - | | | | | | Global Rainfall Data | | | | | |
| table | - | | | | | | Global Rainfall Data | | | | | | | | | |
| table | - | | | | | | Flooding risk | | | | | | | | | |
| droughts | | droughts per year, and historical frequency | | table | - | | | | Global Drought Information System | | | | | | | |
| | | duration and intensity | | table | - | | | | Global Drought Information System | | | | | | | |
| geology | | most affected areas | | table / raster | - | | | | Global Drought Information System | | | | | | | |
| | | seismic vulnerability | | raster | - | | | | OpenQuake Map Viewer | | | | | | | |
| | | landslide vulnerability | | raster | - | | | | Landslide risk | | | | | | | |
| | | soils | | raster | - | | | | Aridity map | | | | | | | |
| | | soil erosion | | raster | - | | | | Soil Erosivity map | | | | | | | |
| | | historical landslides | | table | - | | | | Landslide risk | | | | | | | |
| | | history of earthquakes and intensity | | table | - | | | | OpenQuake Map Viewer | | | | | | | |
| | | history of volcanic eruptions | | table | - | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | |

T15 Matrix of Functions (MoF)

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

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

Step 1. The MoF Survey

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

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

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

Step 2. Building and Assessing the Matrix

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

1. *Consolidate the data collected in a spreadsheet: the column corresponds to the sectors of the city and the rows to the listed functions.*
2. *Separate the answers of the availability of services from the analytical information.*
3. *Organise the functions by hierarchy: higher results on the left and lower answers on the right.*
4. *Organise the sectors of the city by hierarchy: higher answers on top and lower answers on the bottom.*
5. *Colour answers: darker for higher answers and lighter for lower answers, as exemplified below.*
6. *The matrix is then ordered to categorise sectors and establish a set of prevalent functions of each category.*
7. *Highlight the lowest answers to identify the main development challenges.*

T15 Matrix of Functions (MoF)

8. Considering the number and type of functions available in them, the matrix classifies the area into functional categories.
9. Using the matrix, the spatial structure of the territory will be defined. It is necessary to analyse the territorial dynamics of the region and the role' settlements in this structure based on the presence (or not) of key environmental services, physical infrastructure and social and economic activities.
10. Clusters of settlements with similar levels of development, areas with more concentration of settlements and functions are strongly interconnected and work cooperatively, and isolated areas with important functions.
11. Identify categories of (clusters) settlements based on hierarchy and functions.
12. Generate spatial maps to represent linkages and influence among different areas within the region.

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

| Sector of Analysis | Water network coverage | Primary School | Sanitation and drainage system network coverage | General stores and shops | Pharmacy | Electricity and telecommunication network coverage | Daycare | Public square, playground, etc. | Priamry School | Daycare |
|--------------------|------------------------|----------------|---|--------------------------|----------|--|---------|---------------------------------|----------------|---------|
| Sector 1 | 5 | 5 | 4 | 4 | 3 | 4 | 3 | 2 | 2 | 1 |
| Sector 2 | 5 | 3 | 5 | 4 | 3 | 4 | 1 | 0 | 1 | 0 |
| Sector 3 | 5 | 5 | 5 | 2 | 4 | 1 | 2 | 0 | 2 | 0 |
| Sector 4 | 5 | 5 | 5 | 2 | 4 | 1 | 2 | 0 | 0 | 0 |
| Sector 5 | 5 | 5 | 5 | 4 | 4 | 2 | 2 | 1 | 0 | 0 |
| Sector 6 | 4 | 4 | 2 | 3 | 3 | 0 | 0 | 2 | 0 | 0 |
| Sector 7 | 4 | 0 | 3 | 5 | 3 | 0 | 2 | 0 | 3 | 0 |
| Sector 8 | 4 | 5 | 3 | 2 | 2 | 1 | 1 | 1 | 0 | 0 |
| Sector 9 | 4 | 4 | 3 | 3 | 4 | 3 | 0 | 0 | 1 | 0 |
| Sector 10 | 4 | 5 | 3 | 3 | 4 | 3 | 0 | 1 | 0 | 0 |
| Sector 11 | 4 | 2 | 2 | 3 | 4 | 3 | 1 | 0 | 2 | 0 |
| Sector 12 | 4 | 1 | 2 | 3 | 4 | 1 | 1 | 0 | 1 | 0 |
| Sector 13 | 4 | 4 | 2 | 1 | 3 | 4 | 1 | 1 | 2 | 0 |
| Sector 14 | 4 | 1 | 4 | 1 | 1 | 3 | 0 | 1 | 0 | 0 |
| Sector 15 | 4 | 4 | 3 | 3 | 3 | 2 | 1 | 0 | 1 | 0 |
| Sector 16 | 4 | 5 | 3 | 3 | 4 | 3 | 0 | 2 | 2 | 0 |
| Sector 17 | 4 | 4 | 4 | 2 | 4 | 2 | 1 | 1 | 0 | 0 |
| Sector 18 | 4 | 3 | 3 | 1 | 2 | 1 | 1 | 1 | 0 | 0 |
| Sector 19 | 4 | 4 | 2 | 1 | 2 | 2 | 1 | 1 | 1 | 0 |
| Sector 20 | 4 | 4 | 4 | 2 | 1 | 1 | 1 | 0 | 0 | 0 |
| Sector 21 | 4 | 4 | 5 | 3 | 3 | 2 | 3 | 2 | 1 | 0 |
| Sector 22 | 3 | 4 | 3 | 2 | 2 | 1 | 2 | 0 | 0 | 0 |

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

| Sector of Analysis | Air Pollution | Bad quality of roads | Not enough number of schools | Not enough transportation options or connectivity | Lack of water network | Not enough number of health facilities | Water bodies degraded/polluted |
|--------------------|---------------|----------------------|------------------------------|---|-----------------------|--|--------------------------------|
| Sector 1 | 5 | 4 | 4 | 3 | 2 | 2 | 1 |
| Sector 2 | 5 | 4 | 4 | 1 | 0 | 0 | 0 |
| Sector 3 | 5 | 4 | 4 | 2 | 0 | 1 | 0 |
| Sector 4 | 4 | 4 | 3 | 2 | 0 | 0 | 0 |
| Sector 5 | 4 | 4 | 2 | 2 | 1 | 0 | 0 |
| Sector 6 | 3 | 3 | 3 | 0 | 2 | 0 | 0 |
| Sector 7 | 3 | 3 | 2 | 2 | 0 | 1 | 0 |
| Sector 8 | 3 | 2 | 1 | 1 | 1 | 0 | 0 |
| Sector 9 | 3 | 3 | 3 | 0 | 0 | 1 | 0 |
| Sector 10 | 3 | 3 | 3 | 0 | 1 | 0 | 0 |
| Sector 11 | 3 | 4 | 3 | 1 | 0 | 0 | 0 |
| Sector 12 | 3 | 4 | 1 | 1 | 0 | 0 | 0 |
| Sector 13 | 2 | 3 | 2 | 1 | 1 | 0 | 0 |
| Sector 14 | 1 | 1 | 2 | 0 | 1 | 0 | 0 |
| Sector 15 | | 1 | 1 | 1 | 0 | 0 | 0 |
| Sector 16 | 2 | 1 | 2 | 0 | 2 | 0 | 0 |
| Sector 17 | 2 | 4 | 1 | 1 | 0 | 0 | 0 |
| Sector 18 | 1 | 2 | 1 | 0 | 0 | 0 | 0 |
| Sector 19 | 1 | 2 | 2 | 0 | 1 | 0 | 0 |
| Sector 20 | 2 | 1 | 1 | 1 | 0 | 0 | 0 |
| Sector 21 | 2 | 3 | 2 | 0 | 0 | 0 | 0 |
| Sector 22 | 2 | 2 | 1 | 0 | 0 | 0 | 0 |

T15 Matrix of Functions (MoF)

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.

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?

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.

| | | | | | | |
|--|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|
| Daycare | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Primary school | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Secondary school | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| University, higher education centres, training centres, etc. | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |

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

| | | | | | | |
|-----------------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|
| Lack of economic resources | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Not enough number of schools | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Transportation barriers | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Other (please indicate): | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |

RESIDENTIAL

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

| | | | | | | |
|---------------------------|------------------------------------|----------------------------|----------------------------|----------------------------|--------------------------------------|--------------------------------------|
| Number of people by house | <input type="checkbox"/> 0 (empty) | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 (or more) |
| Number of rooms | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 (or more) | |

HEALTH

4. 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

T15 Matrix of Functions (MoF)

| | | | | | | |
|---|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|
| Pharmacy | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Laboratory, clinic and medical centre | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Hospital | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| 5. What are the challenges that prevent people from using health services? | | | | | | |
| Lack of economic resources | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Not enough number of health facilities | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Transportation barriers | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Other (please indicate): | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| 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 | | | | | | |
| Water network coverage | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Electricity | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Internet and telecommunication network coverage | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Sanitation and drainage system network coverage | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Solid waste collection system | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Roads | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Bus, train, subway stops | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Bus, train, subway lines | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Cycling lanes | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Sidewalks | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Internet and telecommunication network coverage | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| 7. What are the challenges that prevent people from having water? <i>Please rank the relevance from 1-5. If not a challenge, please mark 0.</i> | | | | | | |
| Lack of water network | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |

T15 Matrix of Functions (MoF)

| | | | | | | |
|--|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|
| Lack of economic resources (affordability) | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Other (please indicate): | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| 8. What are the challenges that prevent people from electricity? <i>Please rank the relevance from 1-5. If not a challenge, please mark 0.</i> | | | | | | |
| Lack of electricity network | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Lack of economic resources (affordability) | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Other (please indicate): | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| 9. What are the challenges in transportation within this neighbourhood? <i>Please rank the relevance from 1-5. If not a challenge, please mark 0.</i> | | | | | | |
| Lack of roads | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Bad quality of roads | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Lack of public transportation | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Not enough transportation options or connectivity | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Other (please indicate): | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| 10. What are the challenges in transportation to other parts of the city? <i>Please rank the relevance from 1-5. If not a challenge, please mark 0.</i> | | | | | | |
| Lack of roads | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Bad quality of roads | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Lack of public transportation | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Not enough transportation options or connectivity | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Other (please indicate): | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| 11. What percentage of people in your neighbourhood go to other neighbourhoods everyday for essential activities (work, education, groceries, etc.)? <i>0 = no one 1 = Less than 25% 2 = 25-50% 3 = 50-75% 4 = More than 75% 5 = Everyone</i> | | | | | | |
| (Neighbourhood 1) | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| (Neighbourhood 2) | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |

T15 Matrix of Functions (MoF)

| | | | | | | |
|---|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|
| (Neighbourhood 3) | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| (Neighbourhood 4) | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| ENVIRONMENT, SOCIAL AND CULTURE | | | | | | |
| <p>12. How do you evaluate the availability of the following facilities in your neighbourhood</p> <p>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</p> | | | | | | |
| Public square, playground, etc. | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Open space, parks, green areas, etc. | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Restaurant, shops, etc. | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Public library | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Theatre and cinema | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Other cultural or social facilities (please indicate): | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| <p>13. How do you evaluate the use of the following facilities in your neighbourhood?</p> <p>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</p> | | | | | | |
| Public square, playground, etc. | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Open space, parks, green areas, etc. | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Restaurant, shops, etc. | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Public library | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Theatre and cinema | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Other cultural or social facilities (please indicate): | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| <p>14. What are the main environmental challenges in your neighbourhood? <i>Please rank the relevance from 1-5. If not a challenge, please mark 0.</i></p> | | | | | | |
| Green areas degraded/polluted | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Water bodies degraded/polluted | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Air pollution | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Other (please indicate): | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |

T15 Matrix of Functions (MoF)

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

| | | | | | | |
|--------------------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|----------------------------|
| Market, supermarket, food shop, etc. | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| General stores and shops | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Fire station | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Police station | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |
| Other (please indicate): | <input type="checkbox"/> 0 | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 | <input type="checkbox"/> 5 |

Example: Spatial Development framework, Guinea Bissau

| Category | Local Sector (LS) | Pop (2009) | 27 per cent | | | |
|---|---|--------------------|-------------|----|----|----|
| Centrality Score | 186,88 – 465,32 | Hierarchical level | 1 | 2 | 3 | |
| Territorial development (Functional Complexity) | Is considered the lowest level of infrastructure and socio-economic development. The lack of electricity and limited accessibility through unpaved local roads, are the main constraints communities face. This coupled with the presence of only basic health and education facilities, pushes communities to mainly rely on agriculture and fishery production (81 Functions should be covered) | | | | | |
| Category | Regional Sector (RS) | Pop (2009) | 34 per cent | | | |
| Centrality score | 486,72 – 789,23 | Hierarchical level | 4 | 5 | 6 | |
| Territorial development (Functional Complexity) | Access to better transportation, electricity and water infrastructure coupled with secondary education coverage allows the presence of government extension services and more commercial, agroprocessing activities and professional services than the previous category (140 functions should be covered, 81 from previous category) | | | | | |
| Category | Central Regional Sector (CRS) | Pop (2009) | 13 per cent | | | |
| Centrality score | 870,44 - 1.126,72 | Hierarchical level | 7 | 8 | 9 | 10 |
| Territorial development (Functional Complexity) | This category shows more urbanized environments than the previous categories, through the presence of higher levels of health facilities, professional education and recreational and cultural facilities, as well as finance institutions, business and industrial opportunities (198 functions should be covered) | | | | | |
| Category | Central Sector (CS) | Pop (2009) | 25 per cent | | | |
| Centrality score | 2.827,07 | Hierarchical level | 11 | 12 | 13 | |
| Territorial development (Functional Complexity) | Highest level of physical and socio-economic development of the country. It concentrates the highest levels of judiciary, security, education and health services and facilities serving the whole country. (239 functions should be covered (198 from previous categories) | | | | | |

T16 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 T7 Workshop Checklist tool for more details).

Materials

Maps & documents:

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

Drawing & sketching tools:

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

Definitions

| | |
|-----------------------------|---|
| Paths | Elements that connect the spatial structure of the city and routes along which people navigate throughout it. There can be different path hierarchies: primary, secondary, and tertiary. E.g. green corridor, navigable river, railway, bridge, roads. |
| Edges | Boundaries that interrupt the spatial structure of the city and define the natural urban expansion area. They are usually defined by clear natural and land use boundaries. E.g. river, mountain-chain, planning boundary, administrative boundary, expressway dividing two neighbourhoods. |
| Landmarks | External elements that provide orientation in the city. These have different characteristics and can be functional, cultural/historical, environmental, etc. |
| Nodes | Areas of convergence, where there is an aggregation of landmarks and/or conjunction of paths. |
| Zones | Areas containing similar dynamics in the spatial structure. |
| Urban consolidation | Urban areas where infrastructure capacity and land occupation are balanced and/or there are no predictable or justifiable major changes in the current urban fabric and urban form. |
| Urban transformation | Urban areas where there is a mismatch between infrastructure capacity and land occupation and/or it is identified or predicted substantial changes in the current urban fabric and urban form. |

Step 1. Mapping at the City Level

1. Update the satellite images and base maps produced for the whole city. Print them using a scale of between 1:2000 and 1:10000 (depending on the size of the city).
2. Gather key stakeholders at the city level and divide them into groups of 4-6 persons.
3. Present the key concept and general objective of the exercise. The following instructions apply to each group.

T16 Participatory Incremental Mapping (PIM)

4. 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.
 - Functional cultural/historical and environmental landmarks included in the T15 Matrix of Functions (MoF), if applicable, with a focus on functional landmarks that are traffic generators.
5. Analyse the map to see the aggregation of landmarks and conjunction of paths. Identify the nodes. Colour the nodes with environmental landmarks in green and the nodes with cultural landmarks in brown.
6. Identify the current urban expansion dynamics of the city and discuss to determine and mark the current urban edge and administrative boundary.
7. Identify in the map all urban areas where infrastructure capacity and land occupation are mismatching (transformation) and colour them in red or orange. Paint the remaining area in blue (consolidation).
8. Identify in the map all areas where the structure of the city is leading the urban growth and colour them in red or orange (priority). Paint the remaining area in blue.
9. Identify in the map all areas with informal settlements and housing precarity and paint them in yellow.
10. Analyse the relationship of these yellow zones (social) with the structure of the city. If they are disruptive to the current urban structure, highlight them with blue lines (land readjustment). If they are located in areas of high risk (close to water bodies, high slopes, etc), highlight them in red.
11. Each group presents their map to all participants. All groups discuss the differences between the maps and reach a consensus to consolidate a final technical participatory map.

Step 2. Mapping at the Neighbourhood Level

1. After liaising with community leaders and local authorities, assemble key stakeholders at the neighbourhood level. Divide participants into groups, hand them out a satellite image and sketching materials. Then give them the following instructions.
2. Define and draw the neighbourhood edge on the tracing paper.
3. Validate the information consolidated in the technical participatory map at the city scale (paths, edges, landmarks, nodes, and urban growth and risk zones, if applicable) within the selected neighbourhood edge.
4. Identify any missing elements (not captured in the structure of the city represented in the technical map), in this sequence: paths, edges, landmarks – cultural/historical, functional and environmental, using the same colours of the technical map.
5. Refine the nodes and zones (boundaries and features) at the neighbourhood scale and validate their current classification using the same colours of the technical map.

T16 Participatory Incremental Mapping (PIM)

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. Mapping of hazards, exposure and nature spaces

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

1. Print a new version of the satellite images and the land-use map covering the entire city. Print them using a scale of between 1:2000 and 1:10000 (depending on the size of the city).
2. Divide participants into groups according to the neighbourhoods.
3. Present the objective of the exercise and the concepts applied for this exercise (hazard, exposure).
4. Using the land-use map, locate and mark the following items (if applicable to your city): areas affected by flooding (coastal, river, etc.), areas affected by landslides, eroded areas (river, coastal, hillsides), areas prone to stagnation of water, areas affected by heat.
5. Overlay the hazard map and the map produced in Step 1 in order to identify areas and key elements that are exposed to hazards.
6. Using the satellite images (and the land-use map if needed), discuss and locate green and blue spaces within the city.

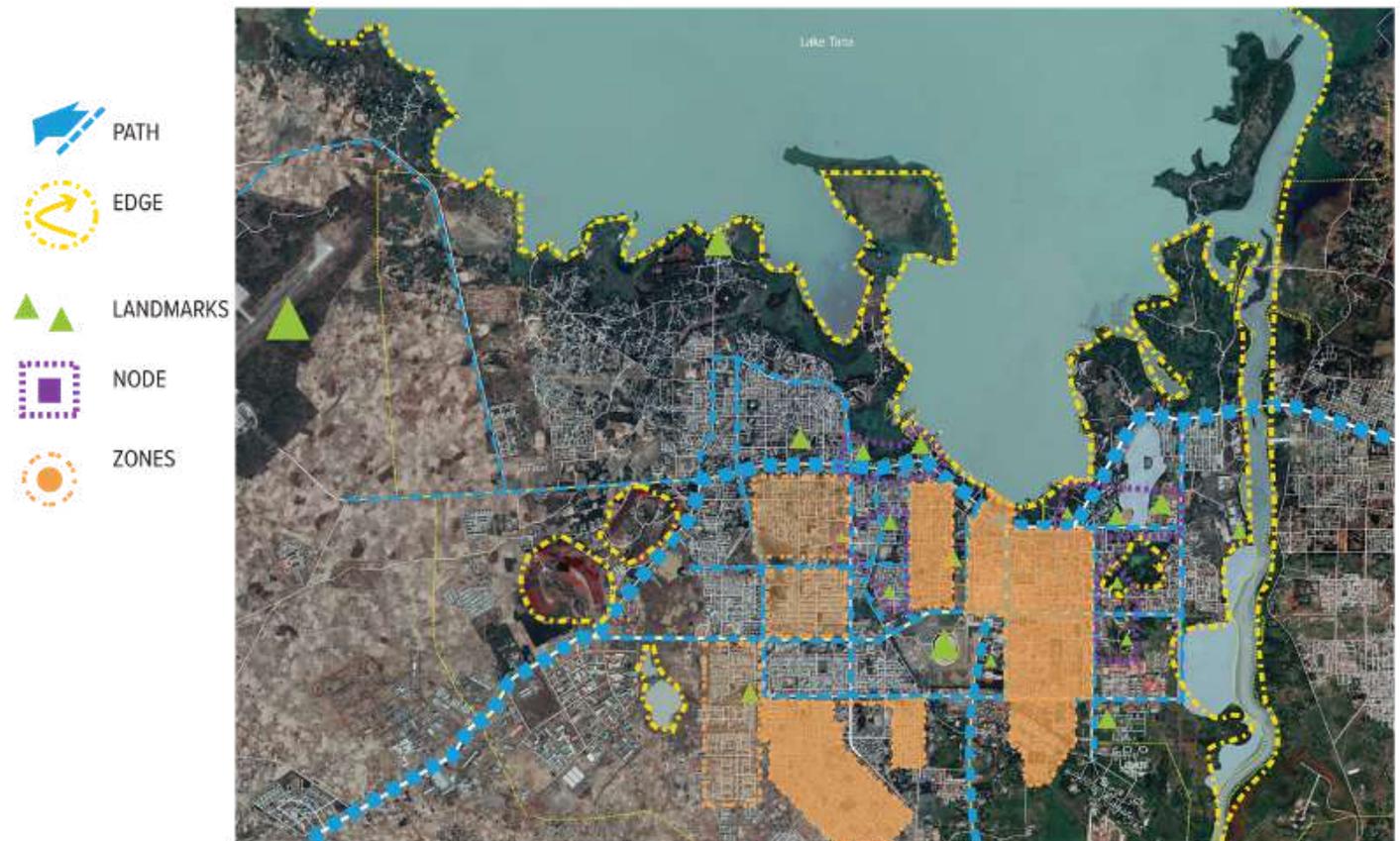
Step 4. Map Consolidation

1. After validating the information of the maps produced through the previous steps, assemble key urban experts and at least one representative of each neighbourhood (community members that performed well during the participatory exercise), and give them the following instructions.
2. Update the urban edge based on the participatory exercises and validate it with the plenary.
3. In discussion with all participants, draw and consolidate a final map that includes:
 - All paths, edges and landmarks included in the neighbourhood maps.
 - All nodes, zones, and boundaries from the neighbourhood maps.
 - All hazard-prone areas from the hazard map.
4. Draw with the plenary a second map that only includes key elements: the structure of the city.

T16 Participatory Incremental Mapping (PIM)

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

Example: Bahir Dar, Ethiopia



T17 Impact Chain Diagram

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

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

Materials

Drawing & sketching tools:

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

Definitions

| | |
|----------|--|
| Hazards | Potential occurrence of an event that may cause loss of life, injury, or other health impacts as well as damage and loss to property, infrastructure, livelihoods, service provision, ecosystem and environmental resources. |
| Exposure | Presence of people, species and ecosystems that could be adversely affected by hazards. |
| Impacts | Exposure and sensitivity in combination determine the potential impact of a hazard. Primary impacts can create further impacts (secondary impacts). |

Step 1. Introduction

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

During the activity:

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

Step 2. Identification of hazards

1. *Enhance the discussion by asking the participants what have been the natural hazards that have affected the city in the last decades. Guide the discussion by giving some examples (floods, earthquakes, landslides, volcanic eruptions, cyclones, drought, heatwaves, storm surges) that fit according to the data that was gathered in other activities, taking into account the frequency and intensity of the hazards. To facilitate the identification of natural and climate-related hazards, use the table below.*

T17 Impact Chain Diagram

| Meteorological | | | | | Hydrological | | | Geophysical | | | Climatological | | Biological | |
|----------------|------------|------------|-----------|-----------|---------------|------------|------------------|-------------|-------------|--------------------|----------------|----------------------------|----------------------|-----------------------------|
| Strong winds | Hurricanes | Heavy rain | Cold wave | Heat wave | Coastal flood | Rain Flood | Saline Intrusion | Landslide | Earthquakes | Volcanic eruptions | Drought | Fires (urban and wildfire) | Vector born diseases | Water and air-borne disease |

- Write on the stickers up to five main hazards and paste them in a first column. These hazards are expected to become more severe according to the discussion of the participants that are aware of the city's climate and natural context.

Step 3. Identification of impacts

- In the second column, participants will paste the sticker writing the potential impacts caused by the previously identified hazards, which include impacts that affect factors such as:
 - Natural environment and ecosystem services (including agriculture)
 - Built environment and social infrastructure
 - Resource extraction (water, wood, fishery, etc.) and resource processing (industry and services) activities
- Link by drawing arrows the hazards and the impacts that are generated. This will create an impact chain diagram. Consider that different hazards can impact the same factor and can affect more than one factor.
- In a third column participants will write down how the primary impacts generate impacts on the social sphere, these will be considered secondary impacts and include:
 - Impacts on economic activities
 - Impacts on vulnerable groups and individuals
 - Impacts on demography
 - Impacts on livelihoods and public health
- During the discussion, highlight that the interactions between hazards and potential impacts define the exposure of the settlement and the population.

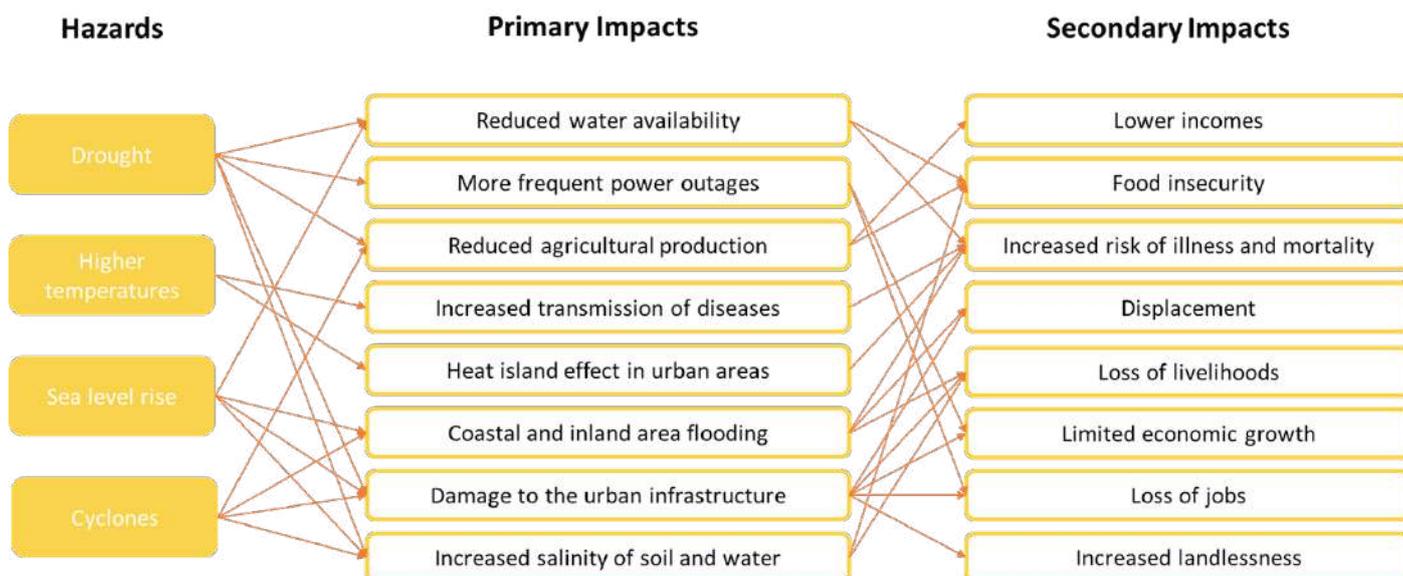
Step 4. Wrapping-up discussion

T17 Impact Chain Diagram

Once all the primary and secondary impacts have been linked, review the final result of the diagram starting from the hazards, verifying that the flow is coherent and all the impacts are correctly linked. This process will facilitate future activities for analysing the vulnerability of the settlement and the population.

Tip: The level of accuracy on defining each impact, whereas its primary or secondary will depend on the profile, experience and technical capacity of the participants. Some participants will have a more technical understanding on how risks perturb ecosystems and human settlements, other participants will give a more detailed explanation on how impacts are occurring based on their experience facing hazards. It is important that the facilitator moderate the participation and establish a balanced outcome of the identified impacts.

Example



T19. Urban Expansion Projections

Instructions:

Use this template to calculate the urban expansions projections. Use a comma (,) for thousands and use a dot (.) for decimals. Percentages are already configured, so insert numbers only (e.g. for 2%, insert 2).

1. Fill the yellow cell below with the year for which the Plan is being developed.

| | |
|--|----|
| The development plan is for the year: | 20 |
|--|----|

2. Fill the yellow cells below with the data from the current year or from the last census.

| Current context (or last census): | | | |
|-----------------------------------|------------------|---------|---------|
| Year | Total Population | Surface | Average |
| 2020 | 50,000 | 20,000 | 2,500 |

3a. Fill the yellow cell below with the average annual population growth rate.

| | |
|--|-------|
| Average rate (%) of annual population growth: | 2.00% |
|--|-------|

Note: This information can be usually found through literature review. If it is not available, calculate it by filling the orange cells on the table below. Add the final result (D25) to the yellow cell above (E17).

3b. If the annual population growth rate is not available, calculate it by using the table below. First, fill the orange cells. Then, add the final result (D25) to the yellow cell above (E17).

| Fill the orange cells below with the population of 2 different years. | | | |
|---|----------------------------|---|--|
| Year | Total Population (hab) | Average Rate (%) of Annual Population Growth: | |
| Year 1 2021 | 1,200 | 175.00% | |
| Year 2 2023 | 5,400 | | |
| Year difference 2 | Population growth 4,200 | | |

Note1: For this analysis, the year difference between year 1 and year 2 should not be greater than 10 years.

Example: Comparison of data between 2020 and 2009 (11 years of difference) might mislead the analysis.

Note2: Prioritize data from recent years. Data should not be older than 15 years.

Example: For a 2020 Development Plan, data from 2000 and 2008 will not be suitable (20 years of comparison). For a 2020 Development Plan, data from 2019 and 2018 will be ideal.

Summary: Urban Expansion Projections

Projections for year: 20

| | | Urban Expansion (km ²) | | |
|----------|-------------------------|------------------------------------|----------------|--------------|
| | | Low density | Medium density | High density |
| Rate (%) | Population Growth (hab) | 6,500 | 10,000 | 15,000 |
| 2.00% | 0 | -7.69 | -5.00 | -3.33 |

Note1: Another rate (%) may be used if necessary, considering the context.

Note2: Usually it is recommended to plan for high density urban expansion. However, local context and culture must be considered.

For reference, check UN-Habitat's planning principles:

[A new strategy of Sustainable Neighbourhood Planning: Five Principles](#)

T20 Vulnerability Assessment

Description The objective of the vulnerability assessment is to determine the vulnerability of a city or neighbourhood to natural hazards, including climate change-induced, depending on the geographical scale that has been selected for the analysis. Vulnerability - defined as a susceptibility to harm or a potential for change or transformation—is constituted of three components: exposure, sensitivity and response capacity.

Participants This activity is carried out by the technical team. However, data collection and validation of information should be done through a participatory process involving local stakeholders.

Instructions

The assessment of local vulnerability to natural hazards and climate change combines information on the environmental, socio-economic, and institutional context. On the one hand, pre-existing, underlying vulnerabilities related to the socio-economic context, ecosystems and infrastructure will interact with natural hazards, including climate change-induced hazards, impacting risk and vulnerability. On the other hand, uncertainties about future vulnerability and risks also require following a multiscale approach.

The collection of data, related to historical disasters caused by natural hazards, climate change trends, people and places, is a prerequisite in order to dispose of the necessary information to analyse the different elements that compose vulnerability. Also, the vulnerability assessment should build on T17 Impact Chain Diagram and T16 Participatory Incremental Mapping (PIM).

Community engagement throughout the steps is highly recommended as participatory data collection methods can help capture the key challenges faced by inhabitants and their perceptions of current and future natural and climate-related risks. Different methods can be used for this purpose: focus group discussions, household surveys, neighbourhood walks with community members, etc. Participatory activities proposed in this tool are marked as “**Optional participatory activities**”. Depending on the time and resources available for the vulnerability assessment, the technical team should assess how many of the participatory activities proposed in this tool can be implemented.

You may want to use the T20 Vulnerability Assessment ([Digital Tool spreadsheet](#)) in order to facilitate the completion of the table in each step.

Definitions

| | |
|-------------------|--|
| Exposure | Presence of people, species and ecosystems that could be adversely affected by hazards. |
| Sensitivity | Degree to which a settlement is adversely or beneficially affected by hazards, including its biophysical and socioeconomic elements. |
| Response capacity | The ability of a community, settlement or ecosystem to adjust to an impact, moderating potential damages, taking advantage of opportunities and increasing resilience. |
| Vulnerability | The degree to which people, places, institutions and sectors are susceptible to, and unable to cope with hazards and its impacts. |
| Frequency | Repetition of a disaster risk in a given period. |

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| | |
|-----------|--|
| Magnitude | Level of damage caused to infrastructure, population and access to services. |
| Extension | Geographical area of the city that is affected by a hazard. |

Tip: The assessment procedure proposed in this tool is only one of many different ways of analysing a city's vulnerability to natural hazards. If you wish to go further into understanding the vulnerability of your city, note that different methods exist, which could be used to complete or substitute the tool presented here. Especially those cities with greater technical capacity and financial resources may have the opportunity to use additional tools and broaden their methodology, while cities lacking capacity and resources may take a more basic approach.

Step 1. Hazard identification

This first step will help to identify and analyze previous natural hazards (earthquakes, volcanic eruptions, landslides) and climate hazards (floods, hurricanes, sea level rise, heat waves, droughts and wildfires), as well as their trends (current and future temperature and precipitation patterns). Because some technical work is required to carry out this first step, you might want to bring in someone with technical disaster risk response and climate change skills and knowledge. An expert from a local university or a government agency can help to gather data, interpret historical trends and events and project future trends for climate-related hazards.

1. Review the impact chain diagram and data related to previous disasters and climate (historical and projected).
2. Identify which are the most relevant natural hazards that have affected to the city by evaluating them using the categories of frequency, magnitude and exposure in a range of 1 to 5 as shown in the following table:

| Hazard | Value: 1 | Value: 2 | Value: 3 | Value: 4 | Value: 5 |
|-----------|--|--|--|--|---|
| Frequency | Very unlikely to occur | Unlikely to occur | Average probability of occurrence | High probability of occurrence | Very High probability of occurrence |
| Magnitude | Minimal damage | Average damages | Moderate damage | Severe damage | Critical damage |
| Extension | It covers 20% of the city's extension. | It covers 40% of the city's extension. | It covers 60% of the city's extension. | It covers 80% of the city's extension. | It covers 100% of the city's extension. |

| | | | | | |
|----------|----------|----------|----------|----------|----------|
| Column 1 | Column 2 | Column 3 | Column 4 | Column 5 | Column 6 |
|----------|----------|----------|----------|----------|----------|

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| Category | Hazard | Frequency | Magnitude | Extension | Total |
|---------------------------|-----------------------------|-----------|-----------|-----------|-------|
| Meteorological (M) | Strong winds | 0 | 0 | 0 | 0 |
| | Hurricanes | 0 | 0 | 0 | 0 |
| | Heavy rain | 0 | 0 | 0 | 0 |
| | Cold wave | 0 | 0 | 0 | 0 |
| | Heat wave | 3 | 1 | 4 | 8 |
| Hydrological (H) | Coastal Flood | 0 | 0 | 0 | 0 |
| | Rain Flood | 0 | 0 | 0 | 0 |
| | Saline Intrusion | 0 | 0 | 0 | 0 |
| Climatological (C) | Drought | 4 | 4 | 5 | 12 |
| | Fires (urban and wildfire) | 0 | 0 | 0 | 0 |
| Geophysical (G) | Landslide | 3 | 5 | 4 | 12 |
| | Earthquakes | 0 | 0 | 0 | 0 |
| | Volcanic eruptions | 0 | 0 | 0 | 0 |
| Biological (B) | Vector-borne disease | 0 | 0 | 0 | 0 |
| | Water and air-borne disease | 0 | 0 | 0 | 0 |

3. Prioritize the level of threat based on the obtained score, a score from 0 to 5 can be considered as low priority, a score from 5 to 8 as priority and a score from 9 to 15 as high priority.

Step 2. Hazard analysis

1. For each hazard, summarise the information based on the collected data in Columns 1, 2, 3, and 4 of the table below:

- Column 1: Indicate the type of hazard in this column.
- Column 2 and 3: What trends or events can be observed and analyzed based on current and historical data ?
- Column 4. Based on the T17 Impact Chain Diagram, start thinking about which known vulnerable groups (urban poor, women, youth, elderly, etc.) are exposed to the identified hazards and how they might be exposed (e.g., if they live in an area exposed to certain flood risks, such as exposed coastal areas). Additionally, you can also include preliminary ideas about places, institutions, and sectors that might also be exposed. Summarize the information in column 4.

Optional participatory activity: During a workshop, involving technical team members and local stakeholders, address the issue of climate change by discussing local climate-related changes that participants have experienced and observed in their lives. You can also address the topic of disasters by discussing disasters that have occurred in the past and have been critical to the city. Summarize participants' experiences and observations and add to column 3.

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| Column 1 | Column 2 | Column 3 | Column 4 |
|-------------------|--|--|--|
| Hazard | Historical Events & Trends | | Exposure – Preliminary Notes on Who and What |
| | <i>Local / Regional r Data</i> | <i>Comments from key stakeholders</i> | |
| <i>Drought</i> | <i>Average length of summer dry periods increased by 15 days in last 30 years</i> | <i>Summer droughts lasting 4-5 weeks longer most years</i> | <ul style="list-style-type: none"> - Farmers – reduced crop yields - City water supply – reduced reservoir levels |
| <i>Landslides</i> | <i>It has been identified that the areas with the highest risk of landslides and landslides are located in the southern zone, with slopes greater than 20°, with a record of 7 landslides during the 2010-2020 period.</i> | <i>Landslides have increased where there used to be forest cover and are more likely to occur in rainy seasons and where the soil is more urbanized.</i> | <ul style="list-style-type: none"> - Road network system adjacent to bare soil and with high slopes. - Buildings and homes adjacent to areas with high slopes. |

2. For hydrometeorological hazards (M, H and C from Step 1) aggravated by climate change, the following table is complementary to consider climate model projections and identify the trend of change in minimum, average and maximum temperature, annual precipitation levels and sea level rise.

- *Column A: Defines the time horizon for climate projections. For climate change analysis, It is common to use short (years to a few decades), medium (several decades) and long term (century) horizons. You can review [Site-Specific Report \(climateinformation.org\)](http://Site-Specific Report (climateinformation.org)) to obtain this information in case the city has not done this type of analysis.*
- *Column B: Is the level of change expected to increase at a greater rate in the future? Will it decrease? Remain the same?*
- *Column C: How likely and confident is it that the projections will actually occur? If data from the IPCC was used, look for descriptions of “likelihood”. Does the data (evidence) collected support the same conclusion?*

| Column A | Column B | Column C |
|----------|----------|----------|
|----------|----------|----------|

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| Time Horizon | Summary Climate Change Projection | |
|---|---|---|
| | Indicators | Projection and Confidence |
| Short term (less than 10 years) | -Spring/summer in the year 2030 +1.0°C temperature -15 mm of precipitation -15% soil moisture | Generally increasing trend in length of dry season - Rate of change is certain -High confidence |
| Medium term (between 10 to 50 years) | -Spring/summer in the year 2050 +1.5°C temperature -20 mm of precipitation -18% soil moisture | Generally increasing trend in length of dry season - Rate of change is certain -High confidence |
| Long term (between 50 to 100 years) | -Spring/summer in the year 2070 +1.9 °C temperature -23 mm of precipitation -20% soil moisture | Generally increasing trend in length of dry season - Rate of change is uncertain, but expected to rise over time -Medium confidence |

- Extreme weather events are those that worsen in severity and extent, and differ from changes to average conditions. Extreme events are things like storms and floods that are increasing in frequency and severity. A change to the average is a linear increase or decrease in precipitation, temperature, sea level rise, etc.

Step 3. Exposure analysis

1. Once the list of hazards has been completed, it is important to understand where these hazards occur (i.e. the exposed locations), who is affected by the hazards (i.e. the exposed persons) and which activities are altered by the hazards (i.e. exposed sectors).

2. Review the table completed in step 2 and the outputs of the T16 Participatory Incremental Mapping (PIM).

3. Fill in Column 1 based on the hazards identified in step 1.

4. Based on data and maps, identify hazard areas and exposed features for each hazard. Summarise the information in Columns 2 to 5. If your city has good geographic information systems (GIS) data and capacity, create maps that illustrate exposed locations, such as flood plains, areas near to volcanoes, areas with high slopes, and low-lying areas along the coast that are subject to storm surges and coastal erosion. These maps can be overlain with additional map layers illustrating important exposure variables, like population information (e.g. population density), major infrastructure (major roads, water supply, sanitation, sewerage, bridges), land uses (e.g. residential [housing], industrial, commercial), critical infrastructure (hospitals, major government offices), and key environmentally sensitive areas (coastline, wetlands, water bodies, conservation areas).

Optional participatory activity: A household survey can be used in order to gather additional information on local exposure to natural hazards. This survey can help understand what are the most problematic natural hazards for households, depending on their location. Additionally, spatial data can be collected in order to

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capture specific locations in the survey, such as houses, water sources, toilet facilities, and other types of facilities.

5. As a technical team, and if possible with the help of officials from different city departments, identify sectors that are exposed to natural hazards, summarising the information in Column 6. Sectors that should be taken into account are: Environment (landscapes, ecosystems), Social (health and nutrition, disaster risk reduction, education and culture), Infrastructure (water/sanitation, housing/settlements, transportation), Institutional (policies, plans and procedures, fiscal management, linkages between local government, civil society and the private sector) and Economy (primary, secondary and tertiary economic activities, formal and informal activities).

| Column 1 (From step 1) | Column 2 | Column 3 | Column 4 | Column 5 | Column 6 |
|---------------------------|---|---|--|--|---|
| Hazard | Hazard Area / Location | Hazard Area – Exposed Features (People, Places, Institutions) | | | Exposed Sectors |
| | | Exposed People | Exposed Places | Exposed Institutions | |
| Drought | - City-wide/Region-wide - Agricultural valley | - City reservoir, residents and businesses - Farmers (some subsistence), women (majority of farm workers and market sellers) | - City reservoir - Agricultural production sites | Local water supply agency - Energy Agency and Division of Energy Management | - Water/Sanitation - Economy (formal & informal) - Health - Agriculture - Economy (formal & informal) - Social |
| Landslides | -South of the city, in the municipalities surrounding the southern highlands. | -Residents (mainly informal settlements) -Road network users | Highway No. 34 at kilometer 45 -Neighborhoods with slopes between 18° and 20° located in the areas closest to the mountain range. | -Communication and transportation networks -Housing -Economy -Environment: landscape alteration | -Communication and transportation networks -Housing -Economy Environment: landscape alteration |

Step 4. Sensitivity and risk analysis

The sensitivity analysis will identify how exposed people, places, institutions and sectors are impacted today and the degree to which they could be impacted in the future. It will answer different questions: What places, sectors and institutions are most sensitive in the areas exposed to natural hazards?? Who lives in exposed locations, and how sensitive are they to their exposure? Are there “hotspots”, or specific areas with multiple exposures and sensitivities? What degree of change will trigger a significant impact? Are there specific thresholds of concern?

1. Review the tables completed in steps 2 and 3.
2. Compile data on socio-demographic elements and variables, such as education levels, gender, income and housing conditions. While not all information can always be presented spatially, some data should be captured in maps: location of informal settlements, vulnerable populations densities, major infrastructure

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and facilities (hospitals, schools, government buildings, ports, airports, etc.), neighbourhoods located in exposed areas, sensitive ecosystems (e.g. mangrove forests, coastal dune habitat).

3. **Optional participatory activity:** Community-based sensitivity mapping and household surveys can be used to complement and augment the desk-based sensitivity research and mapping. It provides an opportunity to engage the broader community and vulnerable populations in the sensitivity assessment and to confirm findings at the local level.
4. Based on the information captured, fill in the table below. Note that much of the information is based on tables completed in steps 1 and 2. However, don't hesitate to update this information based on the findings of step 3.

5. Estimate the risk level and fill in Column 9. This column assesses the risk of the groups identified in the exposed groups columns. The sample scale presented below can be used by the technical team as an example for defining risk levels.

- **High = 5**
 - Large numbers of serious injuries or loss of lives
 - Regional decline leading to widespread business failure, loss of employment and hardship
 - Major widespread damages and loss to environment and infrastructure, with progressive irrecoverable damage
 - Local government services would cease to be effective
- **Medium-High = 4**
 - Isolated instances of serious injuries or loss of lives
 - Regional local economic development impacts and stagnation
 - Severe damages and a danger of continuing damage to infrastructure and environment
 - Local government services struggle to remain effective and would be seen to be in danger of failing completely
- **Medium = 3**
 - Small numbers of injuries involving the public
 - Significant general reduction in livelihoods
 - Isolated but significant instances of environmental and infrastructure damage that might be reversed with intensive efforts
 - Local government services under severe pressure on several fronts
- **Medium-Low = 2**
 - Minor injuries to public
 - Individually significant but isolated livelihood impacts
 - Minor instances of environmental and infrastructure damage that could be reversed
 - Isolated instances of government services being under severe pressure
- **Low = 1**
 - Appearance of a threat but no actual harm to public safety
 - Minor impact on livelihoods
 - No or insignificant infrastructure and environmental damage
 - Minor instances of disruption to local government services
 -

| Column 1 (From step 1) | Column 2 (From Impact) | Column 3 (From step 3) | Column 4 (From step 3) | Column 5 (From step 3) | Column 6 (From step 3) | Column 7 (From step 2) | Column 8 | Column 9 |
|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|----------|----------|
|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|---------------------------|----------|----------|

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| Chain Diagram) | | | | | | | | |
|----------------|--|--|--|---|---|---|---|------------|
| Hazard | Primary / Secondary Impacts | Hazard Area – Exposed Features | | | Exposed Sectors | Exposure (Likely scenario for 20 year planning horizon) | Potential Future Consequences (with no additional climate and disaster risk reduction planning) | Risk level |
| | | Exposed People | Exposed Places | Exposed Institutions | | | | |
| Drought | <ul style="list-style-type: none"> - Reduced water supply - Reduced power generation - Reduced agricultural production | <ul style="list-style-type: none"> - Residents - Farmers (some subsistence), women (majority of farm workers and market sellers) | <ul style="list-style-type: none"> - City reservoir - Agricultural production sites | <ul style="list-style-type: none"> - Local water supply agency - Energy Agency and Division of Energy Management | <ul style="list-style-type: none"> - Water and Sanitation - Economy (formal & informal) - Agriculture - Economy (formal and informal) - Health | <ul style="list-style-type: none"> - 1°C temperature increase - 15 mm precipitation decrease - 18% soil moisture decrease - Generally increasing trend in length of dry season - Rate of change is uncertain, but expected to rise over time | <ul style="list-style-type: none"> - Subsistence farmers will have reduced incomes – decreased income per person, difficult to reach development goals - Increased rural to urban migration of farmers – potential stresses on city services and infrastructure - Agricultural plan already calls for research into drought resistance crops, could lessen the impact - More frequent power outages in dry season + more power outages as dry season lengthens – impacts on businesses and commerce | High (5) |
| -Lanslides | <ul style="list-style-type: none"> - Interruption of transport on the road network. - Damage to public urban infrastructure - Damage to the dwelling. | <ul style="list-style-type: none"> - Residents (mainly informal settlements) - Road network users | <ul style="list-style-type: none"> - South of the city, in the municipalities surrounding the southern highlands. - Highway No. 34 at kilometer 45 over the hill - Neighborhoods located in the most mountainous areas with slopes between 18° and 20°. | <ul style="list-style-type: none"> - Ministry of Communication and Transportation. - Ministry of Development and Urban Planning. - Ministry of Housing | <ul style="list-style-type: none"> - Communication and transportation networks - Housing - Economy - Environment: landscape alteration | <ul style="list-style-type: none"> - Not applies | <ul style="list-style-type: none"> - Consistency of latent probability of loss of life and damage in the areas with the highest exposure. - Latent risk of damage to public and private infrastructure, including roads, housing, public spaces. - Latent risk of road traffic interruptions and rerouting. | Medium (3) |

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Step 5. Response capacity analysis

Knowing the exposure and sensitivity of your city to natural hazards, the next step is to determine how well people, places, institutions and sectors could adapt to these hazards. Response capacity includes adjustments in both behaviour and resources/technologies, and can be assessed at different levels: at individual and household level, at community level and at government/institutional level.

1. *Collect, review and summarise existing plans, policies and reports that can help to develop an understanding of the response capacities at different levels. This could include information on disaster risk reduction plans and strategies, land use plans, economic development strategies, National Adaptation Plans, etc.*
2. **Optional participatory activity:** *During a workshop, involving members of the technical team and local stakeholders, discuss how individuals and households, communities and governments have traditionally responded to extreme events and disasters.*
3. *Organise six working groups in order to elaborate on the response capacity factors for the different natural hazards. The working groups should bring together members of the technical team and officials from different city departments.*
 - *Working Group 1 - Wealth: What financial resources are available to address each hazard?*
 - *Working Group 2 - Technology: What technology and related resources are available to address each hazard?*
 - *Working Group 3 - Institutions: What institutions or teams are addressing each hazard? What policies already exist?*
 - *Working Group 4 - Infrastructure: What infrastructure is available to address each hazard?*
 - *Working Group 5 - Information: What is the level of knowledge on each hazard? Is it distributed to the people who need it?*
 - *Working Group 6 - Social Capital: What social capital is available that could address the impacts from each hazard (e.g. Presence of NGOs, Neighborhood Watch Groups, Communities response to Civil Protection Mechanisms, Community-Based Disaster Response Teams)?*
4. *Summarise the information in the table below. Use a scale from low to high (1 to 5) to assess response capacity relative to each natural hazard. Be sure that all members of the technical team agree to a common definition of what constitutes the low-medium-high score.*
5. *Calculate the average response capacity score (Column 8) for each hazard by adding the scores from columns 2 through 7 and dividing the sum by the number of factors (6).*

| Column 1 (From step 1) | Column 2 | Column 3 | Column 4 | Column 5 | Column 6 | Column 7 | Column 8 |
|---------------------------|---------------|-------------------|---------------------|-----------------------|--------------------|-----------------------|--|
| Hazard | Wealth | Technology | Institutions | Infrastructure | Information | Social Capital | Average Response Capacity Score |

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| | | | | | | | |
|------------|---|--|---|--|--|--|-----------|
| Drought | - Farmers have low incomes - Low government funds for assistance | - New drought resistant crop types being tested locally | - Agriculture ministry has been responsive to droughts in the past - Multiple local agricultural NGOs with high capacity | - Good irrigation systems on most farms | - Information on drought resistant crops is not disseminated well to farmers | - Farmers' cooperatives and networking groups share information | |
| | Low (1) | Medium-High (4) | Medium-High (4) | Medium (3) | Medium (3) | Medium (3) | 18/6 = 3 |
| Landslides | -The government has limited funds to reduce the risk of landslide disasters | There is no technology such as nets to reduce landslides | -Civil Protection has a mechanism to respond to the risk of landslides | -The exposed infrastructure is made of materials with high resistance to mechanical impacts caused by landslides | - Information is available on the areas with the highest risk of landslides and settlements exposed to landslides. | - Vulnerable communities do not know how to respond through civil protection instructions to the disaster caused by a landslide. | |
| | Low (1) | Low(1) | Medium(3) | Medium-high (4) | Medium-high (4) | Medium-low(2) | 15/6= 2.5 |

Step 6. Summary review

The summary vulnerability table represents a synthesis of your Vulnerability Assessment, which should help identify the highest priorities. Keep in mind that this is measuring vulnerability – so a high final score indicates high vulnerability and a low score indicates low vulnerability. The relative vulnerability is highest when there is a combination of high risk level and low response capacity.

1. Use the table below to bring together information from steps 4 and 5.
2. Finally, calculate the relative vulnerability by dividing the risk level by the response capacity.

| Column 1 (From step 1) | Column 2 (From step 3) | Column 3 (From step 4) | Column 4 |
|---------------------------|---------------------------|---|---|
| Hazard | Risk Level | Hazard-specific Response Capacity Status | Relative Vulnerability (Risk Level divided by Response Capacity) |
| Drought | 5 | 3 | 5÷3=1.7 |

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| | | | |
|------------|---|-----|--------------------|
| Landslides | 3 | 2.5 | $3 \div 2.5 = 1.2$ |
|------------|---|-----|--------------------|

T21 S.W.O.T. Analysis

Description The Strength, Weaknesses, Opportunities and Threats (S.W.O.T) analysis is a useful tool to review and analyse the data collected from two perspectives: internal factors (strength and weakness) and external factors (opportunities and threats). It helps to define actions by outlining the positive and negative aspects of the city through a visual diagram.

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

Instructions

It is important that the facilitators have a clear understanding of what each of the items of the S.W.O.T. analysis is to be able to guide the participants and perform it correctly.

The internal factors are those which the municipality has some control to influence.

- **Strengths** are the advantages of the city and what makes it special. They are the major assets which the city can use to further improve the quality of life for all. Examples: low mortality rates, clean environment, high percentage of green spaces, flexible water infrastructure, good public service coverage (housing, sanitation, etc.).
- **Weaknesses** are the problems of the city and what restricts its development. They are the major challenges the city has to overcome through actions. Examples: high unemployment rates, environmental pollution, high violence levels, high/data gaps on local climate vulnerability, etc.

The external factors are those which the municipality has limited or no control over but needs to be aware of.

- **Opportunities** are the external and hidden assets that can be worked upon to become strengths. Examples: high touristic potential, availability of resourceful companies, financial opportunities in order to finance climate action, etc.
- **Threats** are the external problems that may affect the development to limit their consequences, action must be taken. Example: urban conflicts between groups, poorly constructed housing in seismic zones, shrinking of private business with increased unemployment, coastal areas highly exposed to sea level rise and storms, etc.

Step 1. Introduction

In this step, the planning team will introduce the tool.

1. Explain to the participants that the objective of the analysis is to identify the challenges and opportunities through strengths, weaknesses, opportunities and threats in the city.
2. Explain the definition of strengths, weaknesses, opportunities and threats
3. Set the printed S.W.O.T Analysis printable template on a board where all the participants are able to see it.
4. Provide the participants with pens and coloured sticky notes (one colour for each thematic - e.g. natural environment, economy, etc.).

Tip: For in-person workshops, print the S.W.O.T. Analysis printable template at the end of this tool. For online workshops, prepare similar boards on platforms that enable participation, such as Miro. See the Workshop Checklist (T7) tool for more details.

T21 S.W.O.T. Analysis

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.

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.

T21 S.W.O.T. Analysis

6. *The S.W.O.T. Analysis table is complete. Document the results (take pictures).*

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).

1. *Divide the participants in small groups. Hand out a basic map of the city and pens of 2 different colours (preferably red and green) to each group.*
2. *Explain that Weaknesses and Threats should be indicated in the same colour (to be called Constraints), and Strengths and Opportunities in another colour (to be called Opportunities).*
3. *Read all Strengths and Opportunities (one by one) and ask the groups to indicate where they are located on the city map.*
4. *Read all Weaknesses and Threats (one by one) and ask the groups to indicate where they are located on the city map.*
5. *Ask each group to present their results and facilitate the discussion.*
6. *Gather the maps developed by the groups.*
7. *Document the results (take pictures).*

T22 Scenario Building Narratives

Description This tool guides the creation of narratives to describe different development scenarios, taking in consideration the strengths, weaknesses, opportunities and threats that the city faces.

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

Instructions

1. Before starting, review the outputs of the T21 S.W.O.T. Analysis. Have a printed version for consultation during the activity.
2. Write down ideas for each of the following scenarios, taking in consideration the strengths and weaknesses of the S.W.O.T. Analysis. Use coloured sticky notes or write down the ideas on a board or paper.

Strategic Development Scenarios

| | |
|-----------------------------|---|
| Current tendencies scenario | What would the city look like if the current strengths and weaknesses persist? E.g. <i>The city is a large datacenter hub but this has not led to significant local benefits. While economic growth figures are good, job creation is limited to high tech, high-skilled jobs and so unemployment remains stubbornly high. Unequal access to public services, out-migration and income inequality are hallmarks of the region.</i> |
| Optimistic scenario | How would the city look if its strengths and weaknesses meet its opportunities? E.g. <i>The city is a technology cluster and successful datacenter community in the whole region. The high environmental ambitions are fulfilled and data centres are part of an innovative, collaborative and diverse local/regional business community. The social transformation has gained speed resulting in an education system that supports the workforce, low unemployment and the integration of immigrants into society.</i> |
| Pessimistic scenario | How would the city look if its strengths and weaknesses meet its threats? E.g. <i>The aim and ambitions with the establishment of datacenters in the region fails. They are built but fast data storage technological development makes them quickly redundant. The level of low educated inhabitants and high unemployment increases even further in the region. Social unrest, due to the lack of integration of immigrants and the lack of public funding, occurs. Environmental projects are low- prioritised in favour of handling social issues.</i> |

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.

| | Strengths | Weaknesses |
|------------|--|------------|
| Status quo | Current tendencies scenario | |

T22 Scenario Building Narratives

| | |
|---------------|---|
| | <p>.....</p> <p>.....</p> |
| Opportunities | Optimistic scenario <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> |
| Threats | Pessimistic scenario <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> |

4. Each group shares their drafted narrative. Then participants discuss to reach consensus on the one they think is more adequate for each scenario.

Tip: Give out three voting dots (stickers) to each participant. Each one places a sticker on the narrative they think most adequate for each of the scenarios (current, optimistic and pessimistic). Select the narratives that have more voting dots and discuss if they are the most adequate ones and why.

T23 Constraints, Challenges and Opportunity, and Suitability Maps

Description This tool guides the elaboration of constraints, challenges and opportunity, and suitability maps, taking in consideration the strengths, weaknesses, opportunities and threats that the city faces.

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

Instructions

1. Before starting, review the outputs of the data collection, T21 S.W.O.T. Analysis and T16 Participatory Incremental Mapping. Have a printed version for consultation during the activity.
2. The project team should combine thematic layers collected during the data collection process (such as environmental assets, historical and cultural buildings or centres, informal settlements, commercial areas, infrastructures, open spaces, social services, etc) and produce a base map to identify and spatialise constraints and opportunities.
3. Divide participants into smaller groups and present the map definitions using the table below as guidance.

Maps definition

| | |
|-------------------------------------|---|
| Constraints Map | <p>Describe the dynamics and current tendencies scenario in different areas of the city. What are the areas with land use restrictions, high climate vulnerability, infrastructure constraints, lack of services, important characteristics of the city?</p> <p>A constraints map is a useful tool for graphically depicting the land use and environmental constraints that limits the desirable area for development. The map facilitates better tradeoff analysis when considering multiple aspects.</p> |
| Suitability map | <p>Identify suitable areas with spatial patterns of requirements, preferences, or predictors of specific activities. The suitability map localises different patterns and characteristics associated with specific typology or land-use. Additionally, the suitable areas for expansion will be based on the T18 Urban Expansion Projections.</p> |
| Spatial challenges/ opportunity map | <p>Identify and spatialise, based on the S.W.O.T analysis and the spatial analysis, the challenges and opportunities in the city.</p> |

4. Using coloured sticky notes and markers, draw and/or write down the ideas and spatialise the elements into a printed base map, taking in consideration the strengths and weaknesses of the S.W.O.T. Analysis, as well as the results of the spatial analysis.
5. Each group presents the final maps. Then participants discuss to reach consensus on the elements for each of them, developing joint constraints and suitability maps.

T23 Constraints, Challenges and Opportunity, and Suitability Maps

Tip: Give out three voting dots (stickers) to each participant. Each one places a sticker on the elements on each of the maps they think are more important. Discuss those that have more voting dots and consolidate them into final maps. These can be systematised by the technical team after the activity.

T24 Strategic Visioning Workshop Guide

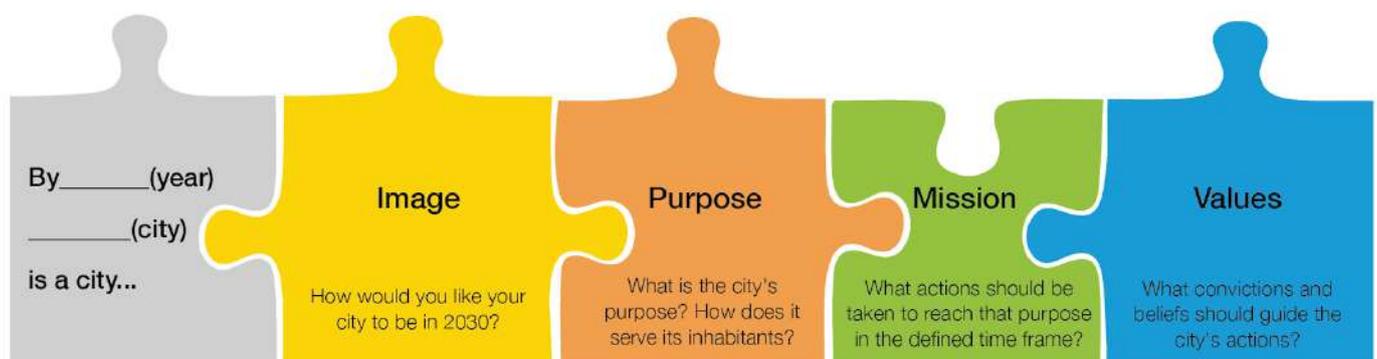
Description This tool guides the Strategic Visioning Workshop, in which the vision, goals, and targets for the Strategic Development Plan are developed. The workshop can take place in one day or can be divided into two days (Step 2 in Day 1, and Step 3 in Day 2).

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

Instructions

Step 1. Formulate a Vision (Workshop - Part 1)

This is the first part (or Day 1) of the workshop. The strategic vision is defined for a specific time frame (e.g. By 2030) and it is composed of four components: image, purpose, mission, and values.



- In plenary, the technical team shares a presentation that includes:*
 - The key takeaways and considerations from the Matrix of References.
 - The outputs of previous planning activities that are relevant to formulate the vision of the city (City Profile report, T21 S.W.O.T. Analysis, T16 Participatory Incremental Planning (PIM), T15 Matrix of Functions (MoF), etc.)
 - The definition of the vision and its four components.
- Divide participants into smaller groups, according to the 2030 Agenda Sustainable Urban Development 5/6Ps (People/Planet/Partnerships/Prosperity/Peace/Planning). Ensure diversity according to sectors, organisations, committees, gender, age, etc.*
 - People:* this group should look at issues related to poverty, health, culture, education, and the place of vulnerable people within the city (people with disabilities, migrants, women and children).
 - Planet:* this group should concentrate on issues regarding ecosystem conservation and climate change mitigation and adaptation, taking into account the results of the vulnerability assessment, if one has been conducted.
 - Partnerships:* this group should look at current and possible partnerships with private or public stakeholders, members of the civil society, academia and regional/international organisations, as well as issues related to governance and participation.

T24 Strategic Visioning Workshop Guide

- *Prosperity: this group should discuss issues related to the local and regional economy, including the formal and informal sectors, industry inputs (e.g., energy, labour) and outputs (e.g., products, waste), and gender equality in the work environment.*
- *Peace: this group should consider issues related to conflicts (local, regional or national), crime, domestic violence, and law enforcement.*
- *Planning: this group should consider the physical urban structure and elements of the city.*

3. *Participants brainstorm ideas for each of the vision components (puzzle pieces) using the guiding questions below. Use coloured sticky notes and consolidate them on a larger board or piece of paper.*

Tip: *The guiding questions can be adapted according to the Strategic Plan's objective (for example, if the vision is not defined for the whole city but for a specific sector, intervention area, for a new public space, etc.). Additionally, the group thematics can be changed, for example, according to the main findings in the analysis and diagnostic. To make it a more participatory process and include more perspectives in the formulation of the city's vision, this information can be previously collected from the city's residents. This can be done by, for example, using a survey, making interventions in public spaces where people can leave their comments, inviting citizens to send videos in which they describe their vision of the city, etc. The data gathered is systematised before the Visioning Workshop and is shared with participants to use as input for this activity.*

Vision

| | |
|----------------|---|
| Image | How would you like your city to be in 2030? E.g. sustainable, safe, prosperous, resilient, etc. |
| Purpose | What is the city's purpose? How does it serve its inhabitants? E.g. better quality of life, equitable opportunities for all, inclusion, etc. |
| Mission | What actions should be taken to reach that purpose in the defined time frame? E.g. participation, clear governance structure, etc. |
| Values | 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. |

4. *Each group uses the ideas gathered to formulate a sentence (the vision) that describes and represents their future city. This is written down on a large piece of paper.*

Examples

- *By 2030, San Nicolás de los Garza is a safe, innovative, exemplary, participatory, inclusive, sustainable, and resilient city focused on providing equal opportunities and improving the quality of life for all people, through a model of participatory governance, community leadership, and co-responsibility guided by its pride, identity and history.*
- *By 2030, Bissau will be a socially inclusive city with a sustainable urban development which is compact and resilient to climate change, functioning as a catalyst for the country's economic development.*

5. *Each group selects one member to share their vision with the rest of participants. All visions are compiled on a board so everyone can see them.*

6. *Participants have a facilitated discussion on all the proposed visions, giving their feedback and opinions. Then, they vote on the version they think is best (it can be one or two visions). They can also merge some of the proposed visions and create a new one.*

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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), the New Urban Agenda or any national framework.

1. Divide participants into smaller groups, according to the Sustainable Urban Development 5/6P's (People/Planet/Partnerships/Prosperity/Peace/Planning), or any other thematic areas established. Ensure diversity according to sectors, organisations, committees, gender, age, etc.
2. Participants define the main issues related to each sector of the 6 P's based on the Analysis and Diagnostic outputs.
3. Participants brainstorm possible goals for the city, based on the main issues, legal framework/ documents' matrix. These should be short and linked to specific subjects (e.g. "green mobility", "resilient public spaces", "affordable housing for all", "inclusive and equitable city", "participative, vibrant and cultural city", etc.). Ideas can be grouped into similar topics.

Tip: An alternative version of this step can be that each group is assigned a pre-established topic (e.g. inclusive and equitable city, prosperous and diverse city, etc.). These can be selected according to the diagnostic findings, participatory activities, and/or specific SDGs the city wants to focus on. Then, participants in each group brainstorm concrete goals linked to each topic.

4. Participants propose possible initiatives, actions, or programs aligned to each goal or topic. These will be then translated into targets.

Tip: Use the following guiding questions to facilitate the brainstorm:

- What is the proposed initiative? E.g. If the topic is "resilient and green city", some initiatives could include: implementation of nature-based solutions, leverage green and blue infrastructure, resilient public space, early warning system, environmental sensibilization, etc.
- Who would be in charge of the implementation? E.g. municipal government, NGO, etc.
- When could this be achieved? E.g. short, medium, long time frame.
- Are there any barriers to achieve the initiative?
- Are there known examples (local or international) of similar initiatives to learn from?

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

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6. After the workshop, the technical team systematises the collected information, defining the goals and specific targets. Targets result from the initiatives proposed during the workshop but can also be complemented with others related to the diagnosis findings or other participatory activities.

Example of Goal and Targets

| | |
|---------|--|
| Goal | Green and resilient city: facilitate the sustainable management of natural resources in the municipality in order to protect and optimise the urban ecosystem. This goal promotes, among other issues, the creation of a system of quality public spaces (open, safe, inclusive, accessible and green) for multiple purposes to increase the city's resilience to climate change and natural disasters. |
| Targets | <ul style="list-style-type: none">• By 2030, transform grey infrastructures to integrate the blue-green ecosystems of the municipality, through nature-based solutions, in pursuit of environmental urban balance, climate change adaptation and mitigation.• By 2030, consolidate the network of public spaces, creating new public spaces in deficient areas, as well as interconnections and urban transects between existing public spaces.• By 2030, strengthen environmental governance and awareness, coordination and stakeholder engagement to foster resilience to natural hazards, risk reduction, health crises and protection of natural areas. |

T25 Scenario Building Narratives

Description

This tool guides the creation of narratives to describe different development scenarios, taking into account the strengths, weaknesses, opportunities and threats facing the city.

Participants

This activity is carried out by the technical team and the advisory council.

Instrucciones

1. Before you begin, review the results of the [H19 SWOT analysis](#). Have a printed version to refer to during the activity.
2. Write ideas for each of the following scenarios, keeping in mind the strengths and weaknesses of the SWOT analysis. Use colored sticky notes or write the ideas on a whiteboard or paper.

Strategic development scenarios

| | |
|---|--|
| Baseline / current trends or "as usual" scenario | <p>What would the city look like if current strengths and weaknesses persist? Consider that current conditions continue into the future. Represents a scenario where no new strategies or regulations are applied to generate a change in the city.</p> <p><i>Example: The strong impulse to plan the city as a technological-industrial corridor with sustainable urban development was not supported by actions and investments to improve the wellbeing of the local population. Environmental awareness is promoted and there is pressure on the government from social groups, but without the articulation of effective governance to ensure full compliance with laws and programs. Transportation and connectivity infrastructure, health services and recreational areas in the communities are still insufficient or in poor condition. Low investment in innovation and technological development that contributes to the strengthening of businesses and government hinders economic growth, employment generation and the quality of social services. Technology-related educational programs are either inaccessible or of low quality. This limits the local population's access to the specialized jobs demanded by the Corridor's new technology industries. Unemployment and lack of resources for families and individuals is growing, increasing social inequality and triggering migration. There is a perception of greater citizen security, but levels of insecurity do not show consistent downward trends.</i></p> |
| Optimal scenario | <p>What would the city look like if its strengths persist, its weaknesses diminish and its threats disappear? It represents the best possible scenario, the ideal, but one that is usually not feasible or achievable.</p> <p><i>Example: The so-called industrial-technology corridor city has established itself as a world leader in innovation, economic and technological development and integrated, sustainable planning. High environmental ambitions are fulfilled and data centers are part of an innovative, collaborative and diverse local/regional business community. The education system has been transformed to be more inclusive, offering capacity building programs and training linked to the technology industry. Social transformation has accelerated and people have a good quality of life, where rates are the highest in the country.</i></p> |
| Strategic scenario | <p>What would the city look like if its strengths and weaknesses met its opportunities? Consider the positive changes the city requires to improve its current conditions, representing the interests of the population and in alignment with planning frameworks. Changes may be due to premeditated actions or to latent threats (e.g., response to disaster risks and climate change). This scenario is the one that will be pursued and should be agreed upon by all stakeholders as a viable bet for the city's development.</p> <p><i>Example: The city called the industrial-technological corridor shows integrated urban and social development between technological industries and surrounding communities. This has been achieved through a holistic urban planning system and framework that promotes cross-sector collaboration and inclusive participation. People thrive and have a good quality of life, with access to better services such as health and education. Crime and drug addiction rates are minimal, as the population participates from an early age in sports, cultural activities and an education focused on digital skills and technological capabilities. This has also resulted in a high number of jobs being filled by the local population, which has led to local and inclusive economic development that has benefited the communities and their environment.</i></p> |

T25 Scenario Building Narratives

Tip: As an additional exercise, you can develop the pessimistic scenario, the one that answers: what would the city look like if its strengths and weaknesses matched its threats? Consider an undesirable scenario that could be achieved if certain conditions are met. This can be an important exercise to identify the future that wants to be avoided, but for which certain changes must be planned in order to avoid achieving it.

Example: The objective of achieving sustainable development in the communities of the Technological-Industrial Corridor is not achieved. Educational and digitalization programs fail to change socioeconomic conditions. Citizen apathy towards participation and weak governance have led to the establishment of ineffective public policies for the management of economic, urban and social development. Industries are disconnected from communities and do not generate benefits for them. Inadequate land occupation and urbanization and lack of housing provision, in addition to precarious infrastructure and connectivity conditions, scare away new investors. Unemployment grows, marginalization increases, addictions worsen, violence and crime increase and the social fabric deteriorates. Mistrust in government and social discontent pose a serious risk of ungovernability. Environmental projects have low priority in favor of the management of social problems.

3. Divide participants into smaller groups and use the ideas proposed in the previous step to write a narrative (paragraph) for each of the scenarios. Use the following table as a guide.

Baseline / current trends or "as usual" scenario

.....

.....

.....

.....

Optimal scenario

.....

.....

.....

.....

Strategic scenario

.....

.....

.....

.....

T25 Scenario Building Narratives

4. Each group shares the draft of their story. The participants then discuss to reach a consensus on the one they consider most appropriate for each scenario.

Note: Hand out three voting points (stickers) to each participant. Each participant places a sticker on the narrative he/she feels is most appropriate for each of the scenarios (current, optimistic, and pessimistic). Select the narratives with the most voting points and discuss whether they are the most appropriate and why.

T26 Thematic Issues Checklist

Description This checklist aims to ensure that the cross-cutting dimensions of social inclusion (human rights, gender, children, youth and older persons, and persons with disabilities) and areas of resilience and safety are integrated into all the steps of the planning phase.

Participants This activity is carried out by the technical team.

Instructions

Review all the components of the plan — including the strategies, recommendations, policies, incentives, and land mechanisms — and evaluate them according to how much they consider the following cross-cutting issues and target groups.

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 urbanisation.

1 = not targeted at all

2 = incidentally targeted

3 = targeted

4 = Strongly targeted

| | | | | |
|---|----------------------------|----------------------------|----------------------------|----------------------------|
| Women | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Older persons | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Adolescents, children and youth (especially girls and young women) | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Persons with physical disabilities | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Persons with mental health conditions | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Migrants, refugees, stateless and internally displaced persons | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Minorities | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Slum dwellers, people in informal settlements, homeless persons | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| People living with human immunodeficiency virus infection and acquired immune deficiency syndrome (HIV/AIDS) and other people with pre-existing medical conditions | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| People in extreme poverty or facing insecure and informal work/income | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Groups that are particularly vulnerable and marginalized because laws, policies and practices do not protect them from discrimination and exclusion (e.g. LGBTQIA people) | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Persons in detention or in institutionalised settings (e.g. persons in psychiatric care, drug rehabilitation centres, old age homes) | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |

T26 Thematic Issues Checklist

| | | | | |
|--|----------------------------|----------------------------|----------------------------|----------------------------|
| Specific populations/groups as relevant in the national context | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Informal sector and self-employed who depend on markets for food as well as small farmers, fishers, pastoralists, etc. | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |

Resilience

How much does the plan, its strategies, recommendations and regulatory directives address each of the five pillars of urban resilience presented below?

- URBAN GOVERNANCE refers to the processes and structures that allow all local actors participating in the decision making process and influencing public policies and strategies for improved urban planning, management and development.
- URBAN PLANNING AND ENVIRONMENT includes all aspects related to planning and design of the urban space, the quality of the natural environment (air, water, soil), public/green spaces and climate change.
- RESILIENT INFRASTRUCTURE AND BASIC SERVICES refers to the urban “hardware” and includes, among others: streets and roads, bridges, drainage, water and electricity supply, sanitation and solid waste management, hospitals, schools, etc.
- URBAN ECONOMY AND SOCIETY refers to the processes, mechanisms and activities that allow cities to becoming drivers of socio-economic development in a country or region, by creating jobs, increasing households’ income, generating investments, reducing social tensions and crime, increasing equality and inclusion, promoting social mix, and enhancing security and safety, among other aspects.
- URBAN DISASTER RISK MANAGEMENT refers to the ability of the local government and communities, in terms of capacity, knowledge, processes and systems in place, to prevent, anticipate, respond to, and recover rapidly from the impacts of natural or manmade threats in the city.

1 = not targeted at all

2 = incidentally targeted

3 = targeted

4 = Strongly targeted

| | | | | |
|---|----------------------------|----------------------------|----------------------------|----------------------------|
| Urban governance | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Urban planning and environment | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Resilient infrastructure and basic services | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Urban economy and society | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Urban disaster risk management | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |

Safety

To what extent are the items below considered in the plan, its strategies, recommendations and regulatory directives?

1 = not targeted at all

2 = incidentally targeted

3 = targeted

4 = Strongly targeted

| | | | | |
|--|----------------------------|----------------------------|----------------------------|----------------------------|
| Equal access to basic services, public spaces and mobility | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Crime prevention | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Violence prevention | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |

T26 Thematic Issues Checklist

| | | | | |
|--|----------------------------|----------------------------|----------------------------|----------------------------|
| Inequality reduction | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |
| Promotion and preservation of jobs and livelihoods | <input type="checkbox"/> 1 | <input type="checkbox"/> 2 | <input type="checkbox"/> 3 | <input type="checkbox"/> 4 |

T27 Spatialisation of the Strategic Vision Workshop

Description This tool aims to spatialise the vision and goals established in the Strategic Visioning Workshop, mapping concrete proposals and actions in specific areas of the city. Per each goal, a thematic map will be developed, integrating different aspects and strategies in the territory.

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

Instructions

Step 1. Assess all the information and data collected from previous activities (Workshop - Part 1)

This is the first part (or Day 1) of the workshop. The objective is to have an overview of all the products already developed in previous activities.

1. *In plenary, the technical team shares a presentation that includes:*
 - The outputs of previous planning activities that are relevant to formulate the vision of the city (City Profile report, T21 S.W.O.T. Analysis, T16 Participatory Incremental Planning (PIM), T15 Matrix of Functions (MoF), etc.)*
 - The Strategic Vision (Activity 17) and Monitoring and Evaluation Framework (Activity 18).*
2. *Divide participants into smaller groups, each one focusing on one of the goals established in the vision. Ensure diversity according to sectors, organisations, committees, gender, age, etc. The participants will be divided based on their expertise and institutions, creating a good relationship to debate and propose different ideas.*

Tip: *To divide the groups, use the results from the T12 Stakeholders' Mapping to make sure the discussion can be fluid, including more perspectives and promoting discussions from different institutions and point of views.*

Step 2. List of actions and projects for each goal

3. *Using the results from the T21 S.W.O.T analysis, participants discuss and prioritise the problems and challenges that need to be addressed to respond to the thematic area or goal. In general, it is important to discuss what they want to change and why they want to change it.*
4. *Building on the results and discussions of the Strategic Visioning Workshop (Activity 17), participants brainstorm ideas to address each goal and identify possible projects and actions. Do a list of actions per goal and identify if it is a project, programme or policy.*
5. *For each problem or challenge, participants should identify action or actions that will solve or improve those conditions and where within the city this action can be located.*

T27 Spatialisation of the Strategic Vision Workshop

Example - List of actions

| Goal 1: Compact and Vibrant City | | | | | | |
|----------------------------------|--------|------------|-------------|-----------|---|--|
| Targets | Action | Priority | | | Partners and possible implementing entity | Related ongoing initiative and Institution responsible |
| | | Short term | Medium term | Long term | | |
| | | | | | | |

Step 2. Spatialisation and mapping process

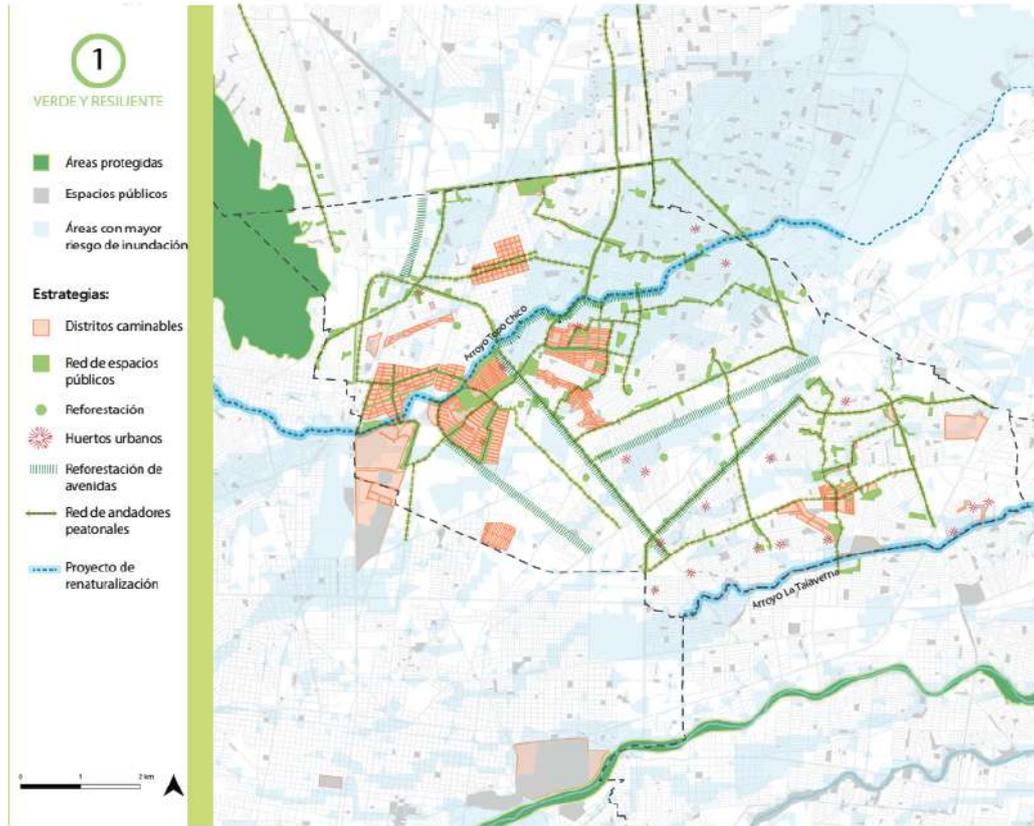
6. Each group reviews the projects and actions. Using one base map per goal, participants identify the area(s) where these projects and actions could be implemented. Some initiatives can also have different areas of interventions and the group can prioritise the actions.

Tip: Use the following guiding questions to facilitate the brainstorm:

- What are the main challenges we need to respond to achieve the goal?
- What is the proposed initiative?
- Is there any similar project or initiative already in place? If so, who is working on it?
- Who would be in charge of the implementation? Who are the stakeholders with capacity/ expertise on this topic? E.g. municipal government, NGO, etc.
- When could this initiative start? E.g. short, medium, long time frame.
- Are there known examples (local or international) of similar initiatives to learn from?

Example San Nicolas de los Garza, Mexico

T27 Spatialisation of the Strategic Vision Workshop



T28 Urban Development Structure Guide

Description This tool guides the urban development structure of the city, including first the definition of the new urban perimeter and then the transformation, consolidation and conservation areas.

Participants This activity is carried out by the technical team, but can be developed as a workshop including the advisory committee members.

Instructions

Step 1. Define the types of areas for land development

1. Review the outputs of the Assessment Phase and the Diagnosis (Activity 16) taking a look at the spatial structure and pattern of urban growth. Use a map that includes the paths, edges, landmarks, and nodes as a base map for this activity.
2. Review the results from the Spatialisation of the Strategic Vision (Activity 19).
3. Review the population growth rate and the T19 Urban Expansion Projections.
4. Use a map of the city to define the new urban perimeter and classify the land into urban area, urban expansion, and rural area according to the definitions and example map below, and the following guiding questions:
 - Is the area located within the existing urban perimeter?
 - Is the area foreseeing current trends of urbanisation of the city? Is there any presence of informal development already?
 - What is the current density of the area in relation with the average density of the city?
 - 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?

Tip: Analyse the possible directions of urban expansion and take in consideration the population growth projection and the amount of land needed to achieve an adequate population density for the local context (100-200 inhab/ha, but it can vary according to the local context) 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

| | |
|-----------------|---|
| Urban perimeter | The urban management boundary — also called urban edge, urban perimeter or planning boundary — is a regulatory instrument that sets the limits for the future growth and sprawl of the city to guarantee sustainable development. |
| Urban area | Land that has already been subdivided into plots (formally or informally) or land contained by an existing or former urban perimeter. |
| Urban expansion | Land within the city limits destined for urban expansion. This is land that has not been urbanised or subdivided into plots yet, and is located outside the existing or former urban perimeter. |

T28 Urban Development Structure Guide

Rural area

Land that has not been urbanised or subdivided into plots, outside the newly defined urban perimeter and within the city limits.

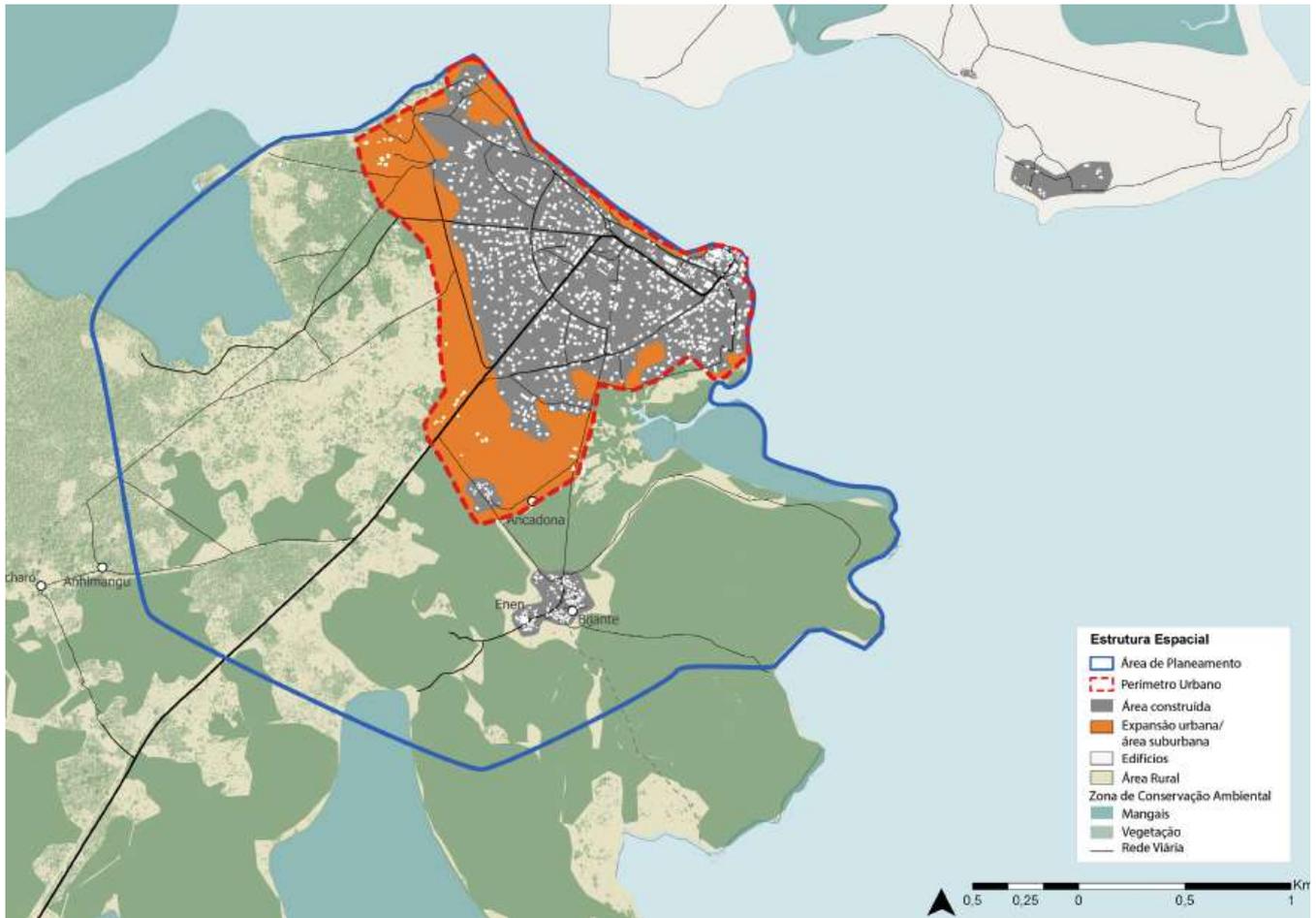
Tip: The categories used for the areas can vary according to the planning framework and context. For example, an "environmental area" can be added in a city that includes national reserves or protected areas. See the following images to see other examples.

Example:



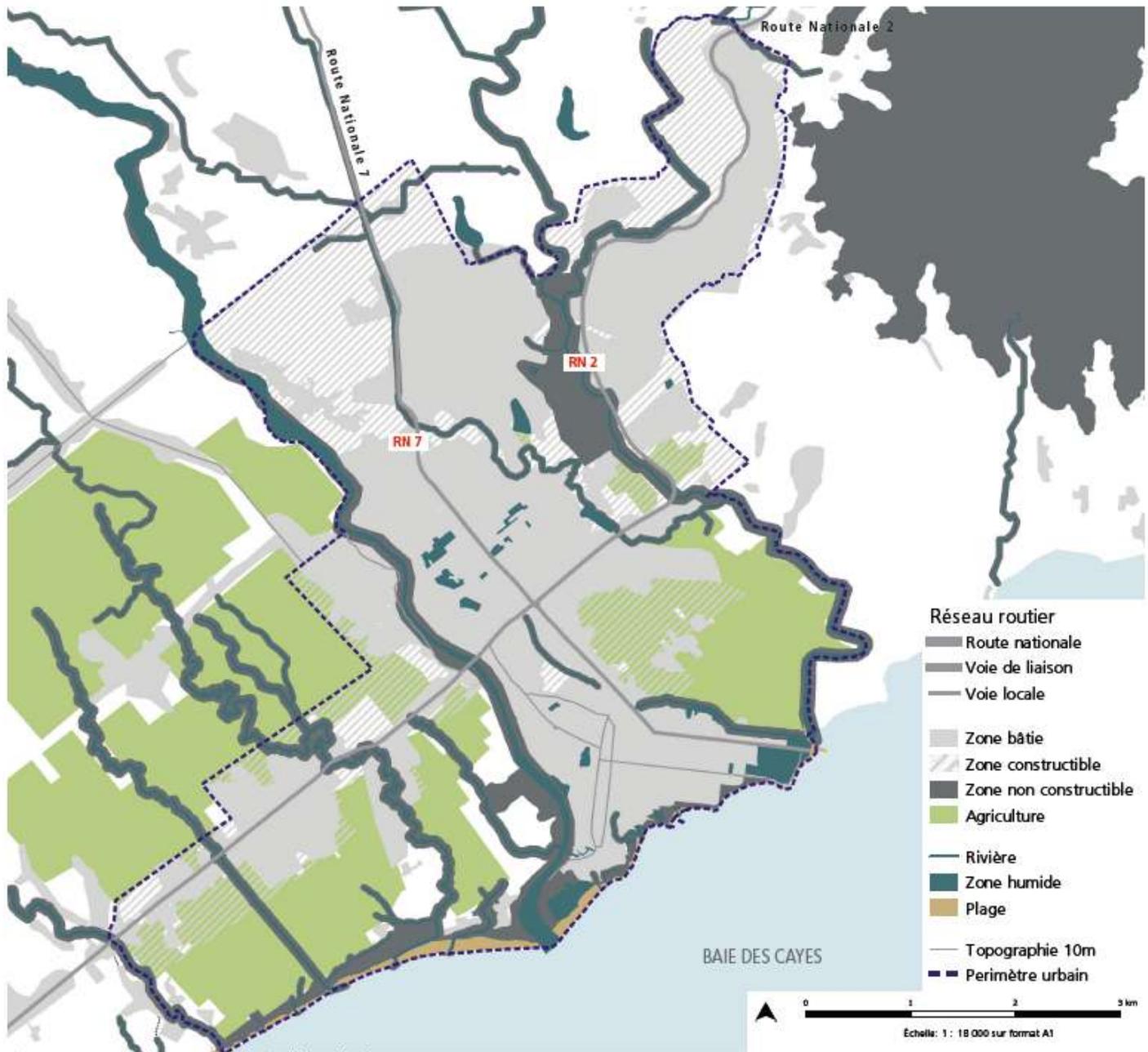
Bubaque, Guinea Bissau:

T28 Urban Development Structure Guide



Les Cayes, Haiti:

T28 Urban Development Structure Guide



Step 2. Define the strategic areas

1. For the urban, rural and expansion areas, map the areas of **transformation, consolidation and conservation**. This is a first exercise to define more specific development zones (next Activity), and should take into account the diagnosis and the spatialisation of the vision. The results should be then validated with the steering committee.

Strategic areas

T28 Urban Development Structure Guide

Transformation Area

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. It can apply to rural, urban and expansion areas.

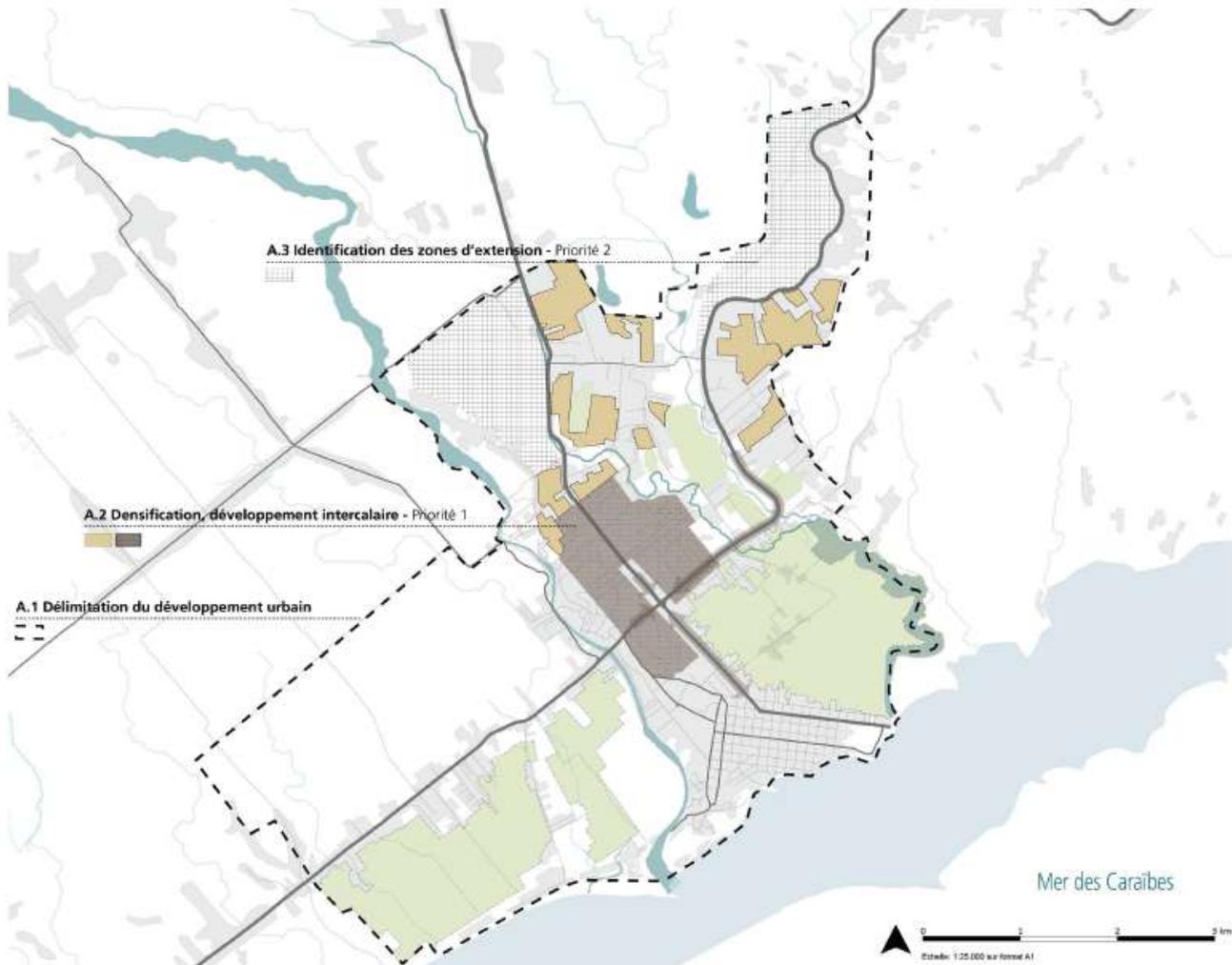
Consolidation Area

Areas where there is a mismatch between the infrastructure capacity and land occupation and/or where no substantial changes in the current urban fabric and urban form are predicted. Some sectors from the consolidation areas have the potential to be densified.

Conservation Area

Areas with cultural or environmental value that needs to be protected from interventions and urban sprawl. These can include archeological areas, environmental preservation (protected areas), land protection, water recharge, biodiversity conservation, etc.

Example Les cayes, Haiti:



T29 Development Zones Guide

Description This tool guides the identification of key development zones for the city, according to their functional vocation.

Participants This activity is carried out by the technical team and validated with the advisory committee.

Instructions

Step 1. Define key development zones

1. Review the urban perimeter and the strategic areas (consolidation, transformation and conservation) defined in the previous activity.
2. Identify the different development/functional zones based on their vocational function, using the following definitions. These zones consider both the current uses and city dynamics, and well as the potential for new uses. According to the context, other zones can be added or these can be modified.

Development Zones

Economic-productive Zone

Zones with existing commercial activities and economic centers that need to be strengthened, or also new potential centers that could be part of the strategic development in the city. The zone can also be divided into more detail such as economic/commercial, industrial and productive (agriculture, farming) zones. Some examples can include:

- Prime land within the urban area or urban expansion area that can be reserved for strategic economic and income generation functions (industrial, tourism, manufacturing, productive, etc.), as well as areas surrounding infrastructure nodes with relevant functional landmarks and a conversion of important paths.
- New or strengthen potential economic clusters or specialised service, building on the existing industrial activities of the city. This can include industrial parks or areas that contain the specific use to create synergies between businesses.
- Low-density areas mostly occupied by commerce and services to promote and strengthen economic development through diversified and mixed activities, guaranteeing vitality at all times of the day and promoting social inclusion.
- Economic corridors in main roads that serve existing and new residential areas with mixed commercial uses.
- Zone for touristic development (camping area, hotels, other facilities) close to a high value environmental zone in the need of public facilities and regulations that allow for new and complementary uses.

Housing/Urban/ Social Zone

Zones destined for housing and other urban facilities/equipment (healthcare, education, basic services, public space/recreational spaces), both for areas that need transformation and consolidation. The zone should be aligned with national and local housing policies and promote the 'housing at the centre' principle. Some examples can include:

- Low-density areas that need housing policies and interventions to promote the social mix and reduce inequalities. The zone suggests creating incentives to promote public-private partnerships for the production of adequate and affordable housing, including rental housing, and land with accessible services for vulnerable groups.
- Slum upgrading and other zones that lack adequate basic infrastructure and services including electricity, water, and sanitation.
- Zones that lack education, healthcare and recreational facilities.

T29 Development Zones Guide

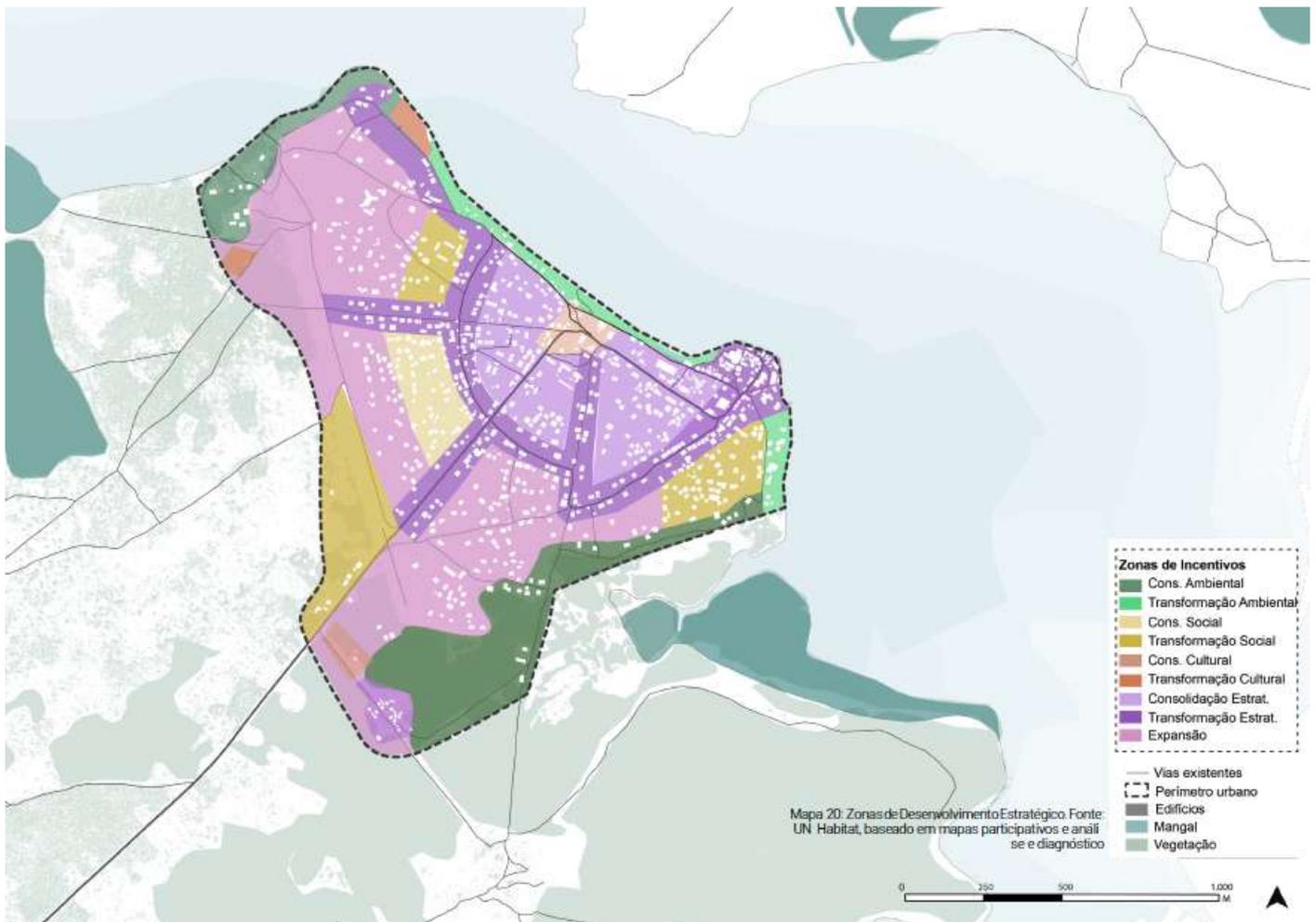
| | |
|---------------------------|---|
| | <ul style="list-style-type: none"> - Expansion areas that can be urbanised for new housing and services to fit the population projections. - Zones that need to be densified to encourage a more compact city and the possibility of new housing and services in already consolidated areas. |
| Cultural Zone | <p>Zones with tangible and intangible heritage (cultural landmarks, such as historical centres, cultural heritage, areas of cultural leisure and tourism, etc.) in need of incentive policies to protect traditional identity from potential disruptive impacts of urban development and/or strengthen their cultural value. The zone suggests creating incentives through land financing to encourage recreational, tourist, gastronomic and other cultural functions and the use of historic buildings, as well as 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). Some examples can include:</p> <ul style="list-style-type: none"> - Historical center that needs to be revitalized and/or regenerated, degraded areas with cultural value. - Archeological sites within or outside urban areas that need policies and interventions for their protection and revaluation. - Cultural zones that need the development of urban equipment such as, for example, a local museum, research center, etc. such as policies that allow for them. - Low-density areas with significant cultural landmarks, where cultural activities have the potential to generate income and promote a socially and economically vibrant community. |
| Environmental Zone | <p>Zones that contains relevant green and blue infrastructure and environmental landmarks, such as water bodies, wetlands, public parks and natural reserves, environmental sensitive areas, areas with high risk, etc. A diverse range of management and development policies and projects would need to be 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, climate adaptation and mitigation, specific strategies for coastal areas and water bodies, etc. Some examples can include:</p> <ul style="list-style-type: none"> - Zones with relevant environmental characteristics and biodiversity that need environmental protection and conservation policies and that should not have any human intervention. - Zones that are already polluted or vulnerable areas with environmental degradation and loss of biodiversity which need regulations and physical interventions to protect and restore the degraded area. - Zones with high environmental value that can be intervened with small scale infrastructure in order to allow for other activities such as tourism or small-scale productive activities (i.e. does not allow construction, only visits, recreation, and small installations such as street furniture, kiosks, tables, etc.). - Zones that present some kind of unmitigable hazard condition, such as ravines, flooding areas, landslides, etc. |

Example:

T29 Development Zones Guide

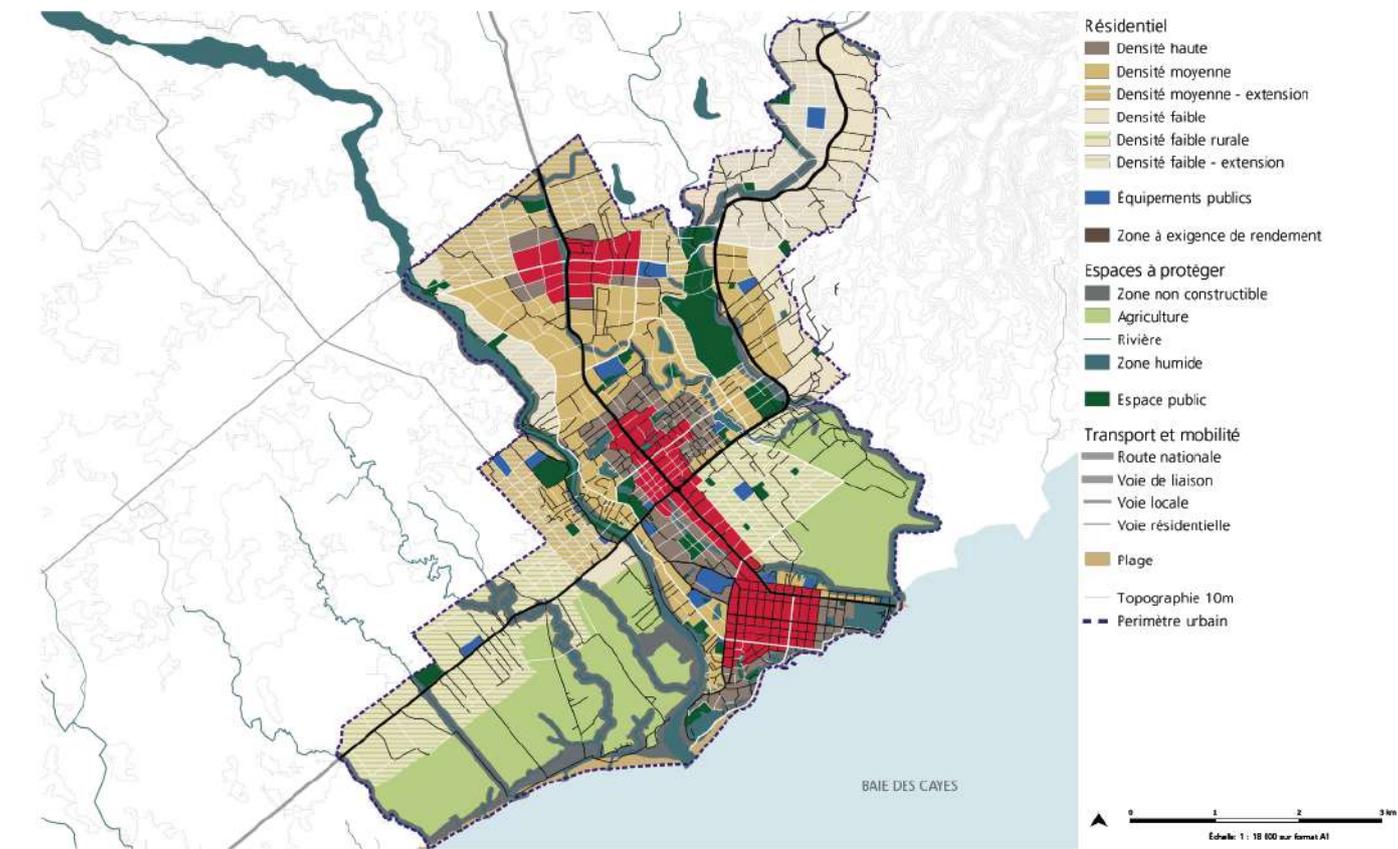


Example: Bubaque, Guinea Bissau



T29 Development Zones Guide

Example: [Les Cayes, Haiti](#)



Step 2. Define strategic densities

1. Review the projected population calculated in the Block D (see Data & Map Checklist).
2. Review the results from the urban development structure, strategic areas and development zones.
3. Define what high, medium and low density mean for your context and city.
4. Identify strategic density areas, using the following guiding questions.
 - a. What is the current density of the city?
 - b. What would be the average density of the city needed to absorb the projected population of the next 15 year and more?
 - c. How is the existing urban landscape of your city? Is there available land within the urban areas that could be densified (vacant and built land)? How many stories are the buildings on average?
 - d. Does the city have adequate availability of public land for streets and open public spaces (45%) and urban green spaces (a minimum of 9m² per inhabitant)?

T29 Development Zones Guide

| Density (inhab/km ²) | | Where |
|----------------------------------|--------|--|
| High | 15,000 | Business area, commercial area and mixed-use with residential within the central districts and along the main mobility axes. |
| Medium | 10,000 | Mixed-use and residential areas close to the central districts and the main mobility axes. |
| Low | 6,500 | Industrial and low density residential areas in the periphery of the city and disconnected with the main mobility axes. |

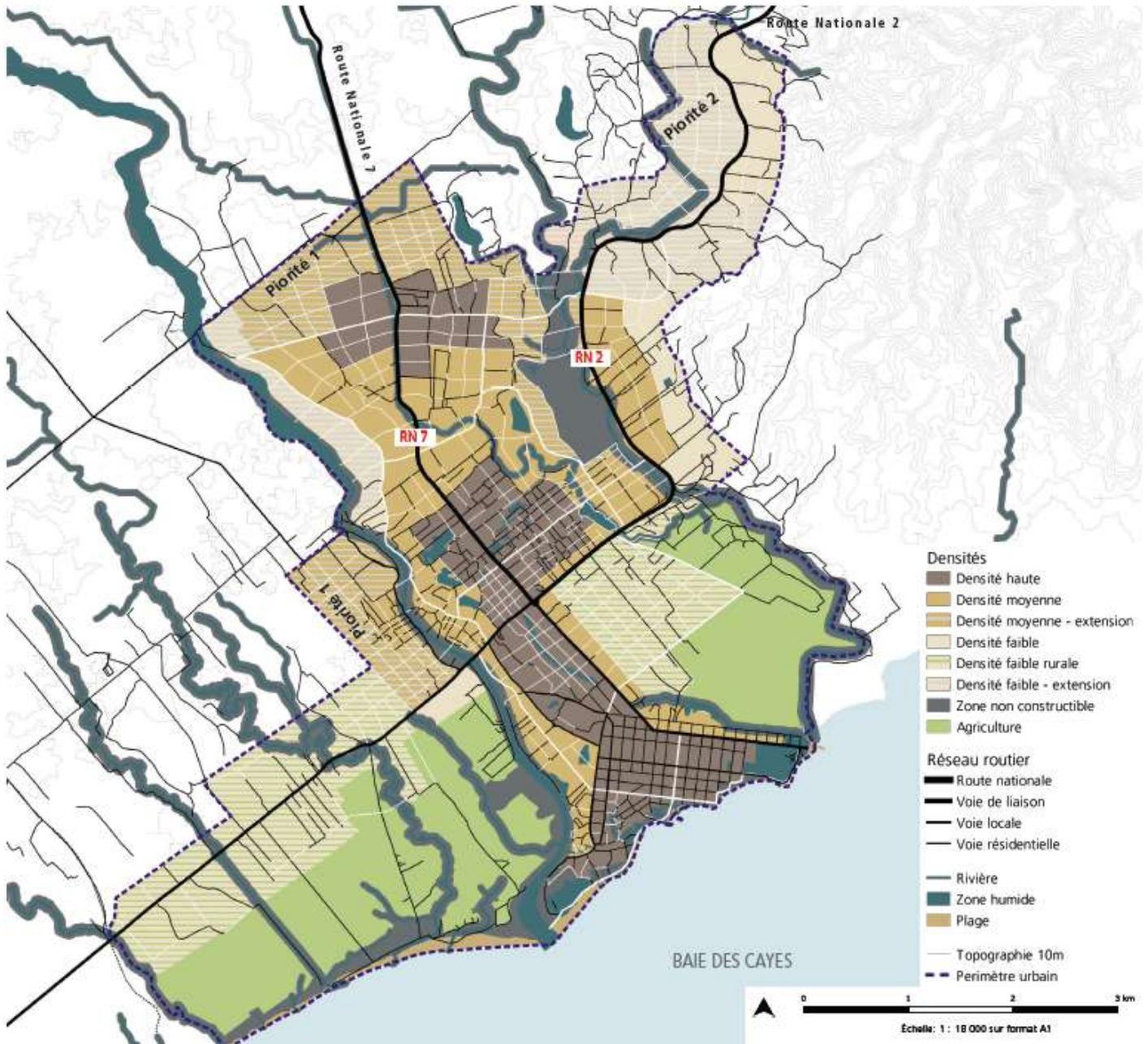
Tip: The densities chosen will have to take into account the cultural context, the availability of land, the population growth and climate change scenarios, the specific nature of the land, the land market value, the technical capacities for building and the legal requirements for FARs and land uses. Note that the densities proposed here above are recommended by UN-Habitat (2015). However, these are indicatives and could not fit specific contexts with particularly low densities and minor projected growth.

Furthermore, it should be considered that higher density can increase local vulnerability to climate hazards, which are likely to become more frequent and more intense as a result of climate change. Thus, in some cases, moderate density in combination with green infrastructure could be the most effective form. More accurate densities could be tailored by the local government considering the above indications. E.g. If the current urban landscape has an average of 1-story buildings, then an area with 5-6 stories buildings is already considered a high density neighbourhood and higher densities should be discouraged.

5. Prepare a map showing the proposed strategic density using a clear legend of colour and hatches that can be overlapped with the urban development structure and the development zones.

Examples Les Cayes, Haiti:

T29 Development Zones Guide



T30 Environmental and Social Scoping Report Template

Description This tool aims to identify the key environmental and social issues to be studied in the ESIA or ESAP, specifying where they will be studied (area of influence of the project) and how they will be studied (methodologies and techniques).

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

Instructions

Gather and review the documents of the city plan and use the guiding questions below to prepare the Scoping Report for the Planning Process.

1. INTRODUCTION OF THE CITY PLAN

- Provide a brief description of the project (city plan). *Tip: use the content from the Context of the project, in T9 Guiding Document.*
- List the stakeholders involved and the strategies to better integrate each of them in the planning process.

Tip: use answers from T12 Stakeholders Mapping and T10 Environmental and Social Screening Report Template.

2. REFERENCE FRAMEWORK OF THE PLANNING

Focused on the environmental and social-environmental regulation

2.1 Local laws and regulations

- Is there a Law or Act in the country which deals with Human Rights, Gender Equality, Social Inclusion, Migrants, Refugees, Indigenous people and other vulnerable groups etc.? If there is a standard, list the requirements and processes included.

Tip: use answers from T2 Urban Legislation Assessment.

2.2 International Standards the planning process need to comply

- Does the project need to comply with any environmental or social international standard (or a donor) such as the IFC Performance Standards, UN standards, Donor E&S standards or framework? If there is a standard, list the requirements and processes included.

3. KEY ENVIRONMENTAL AND SOCIAL ISSUES

- Describe the level of risk (occurrence and potential severity) of each environmental and social risk that can impact the planning process and the people involved.

Tip: use the answers and the list of risks from the T10 Environmental and Social Screening Report Template.

4. STAKEHOLDER ENGAGEMENT

T30 Environmental and Social Scoping Report Template

- Make a preliminary list of stakeholders that should be engaged in the planning process (e.g. specific community, government bodies, non-government institutions.)

Tip: Use the T12 Stakeholders Mapping results as a guide.

5. ENVIRONMENTAL AND SOCIAL BASELINE SITUATION

5.1 Setting the area of influence

- Identify areas where the impact of the planning process can potentially occur. These refer to the areas where the planning activities, facilities, structures will be performed.

5.2 Baseline Studies

- Look at the preliminary list of stakeholders and the area of influence of the activities and identify all the potential impacts and risks. Use the list below for reference and add other issues according to the need.

The activities of planning process can impact or put in risk the:

Environmental impacts:

- Air quality.
- Noise.
- Hydrology and hydrogeology.
- Aquatic flora and fauna.
- Terrestrial flora and fauna.
- Ecosystem services.
- Endangered species, sensitive habitats and other ecological (sensitive) areas.
- Landscape.
- Other:
- Other:

Social impacts:

- Road and transport infrastructure.
- Public utilities and services.
- Community structures
- Tensions between different groups
- Employment and income.
- Socio-economic activities.
- Cultural heritage (e.g., historical properties).
- Public health.
- Recreation.
- Labour and working conditions.
- Other:

**All impacts need to be identified, whether they are beneficial or adverse, short or long-term, temporary or permanent, direct or indirect, local or transboundary.*

5.3 Methodology of the ESIA

Only necessary if an ESIA is required.

- Identify and list international and local good practice on impact assessment. Consider techniques to measure the extension and probability (e.g., extension, probability, duration, reversibility, intensity, synergic or cumulative nature, etc.).
- For each impact identified in the baseline study, determine the methodology and fill the box below.
**The methodology should consider the source of impact, the relation with other baseline aspects and the indicators to assess the extension of the impact.*

Impact title (add title from 5.2. Baseline Study):

Impact description (include extension, probability, duration, reversibility, intensity, synergic or cumulative nature, etc.).

T30 Environmental and Social Scoping Report Template

Area of influence *(may be a map and list of stakeholders involved):*

Methodology (list the activities, methods and procedures available in your local context to develop the assessment as well as the indicators that will be used).

T31 Environmental and Social Action Plan Template

Description This tool aims to define a plan to manage and monitor the risks and impacts of the activities during the urban planning for the projects of low risks.

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

Instructions

The Environmental and Social Action Plan comprises a presentation of the project, and the Environmental and Social Management Plan (ESMP) the list of stakeholders to be involved.

Use the information from T30 Environmental and Social Scoping Report Template to present the project. After that, the team should meet, discuss and define the ESMP. When the information is collected and the measures are defined, share the ESAP for approval signatures.

Copy from the Scoping

1. INTRODUCTION OF THE PROJECT

2. REFERENCE FRAMEWORK

Focused on the environmental and social-environmental regulation

2.1 Local laws and regulations

2.2 International Standards the planning process need to comply

3. KEY ENVIRONMENTAL AND SOCIAL ISSUES

4. STAKEHOLDER ENGAGEMENT

5. ENVIRONMENTAL AND SOCIAL BASELINE SITUATION

5.1 Setting the area of influence

5.2 Baseline Studies

T31 Environmental and Social Action Plan Template

Develop the ESMP

6. CONTENT OF EACH MEASURE

Tip: Replicate the table below for each measure

MEASURE 1 (Add title)

| | |
|--|---|
| Environmental or social aspects affected by the impact | |
| Associated impact | <i>(Identified and assessed in the Scoping Report)</i> |
| Project/programme phase | |
| Type of measure | <i>(Avoidance or mitigation)</i> |
| Name of the measure | |
| Objective | |
| Description | |
| Location for the implementation | <i>(Project/programme area, area of influence or other)</i> |
| Method of implementation | |
| Timeframe | |
| Monitoring | <i>(Indicator, means of verification and frequency)</i> |

7. MONITORING PLAN *Overview of all measures*

| Measure title | Monitoring Indicators | Means of verification | Frequency | Roles and responsibilities |
|---------------|-----------------------|-----------------------|-----------|----------------------------|
| | | | | |
| | | | | |
| | | | | |

T31 Environmental and Social Action Plan Template

8. STAKEHOLDER ENGAGEMENT

List the steps, actions and tasks to undertake with each of the stakeholders identified in the table of the 7. Monitoring Plan.

Stakeholder: Stakeholder:

Actions: Actions:

.....

.....

.....

Stakeholder: Stakeholder:

Actions: Actions:

.....

.....

.....

Stakeholder: Stakeholder:

Actions: Actions:

.....

.....

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T32 Strategic Projects Workshop

Description This tool guides the identification, prioritisation, and spatialisation of the strategic projects of the plan, linked to the goals defined in the vision, and the strategies and action lines framework.

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

Instructions

Step 1. Review previous outputs

1. In plenary, the technical team shares a presentation that includes the following elements. Have printed versions of the materials for consultation during the workshop.
 - The key findings from the analysis and diagnosis, and the Environmental and Social Screening Report.
 - The vision, goals, strategies and action lines, and the **Spatialisation of the Strategic Vision (Activity 19)** maps.
 - The constraints, challenges and opportunities, and constraints map, the conceptual structure and the spatial strategies.
2. Participants discuss what are the priority areas of intervention within the city, based on the previous presentation.

Step 2. Identification and prioritisation of catalytic actions and strategic projects

1. Set thematic stations (tables or areas in the space where the workshop takes place) according to the defined goals in the vision (e.g. Green and resilient city, Inclusive and equitable city, Prosperous and diverse city, etc.). Each station should have a title (goal or theme), a blank large paper or a board, coloured sticky notes, and the map produced in the **Spatialisation of the Strategic Vision (Activity 19)** corresponding to that goal.

Tip: An alternative is to define the stations according to the Sustainable Urban Development 5/6P's (People/Planet/Partnerships/Prosperity/Peace/Planning) or the main thematic areas that resulted from the Analysis and Diagnosis.

2. Divide participants into groups. Ideally, the number of groups should match the number of stations.
3. Each group starts in one thematic/goal station. Using coloured sticky notes, participants brainstorm possible catalytic and strategic projects that could be implemented to fulfil the targets of the specific goal. After a defined time (e.g. 10 minutes), groups rotate to a different station and continue to add projects to the paper or board. This step is repeated until all groups have participated in all stations, so that all participants can provide ideas to all goals.

Tip:

1. Use the following guiding questions to facilitate brainstorming and discussion at each thematic table or station:

T32 Strategic Projects Workshop

- What are the main challenges that exist to achieve the goal or make improvements in the thematic area?
 - What projects could be implemented to meet vision and goals of the plan?
 - What does the proposed initiative or project consist of?
 - Does a similar project or initiative already exist? If so, who is working on it?
 - Who would be in charge of implementation? Who are the stakeholders involved with capacity/expertise in this area? For example, municipal government, NGOs, etc.
 - When could this initiative start? For example, in the short, medium or long term.
 - Are there known examples (local or international) of similar initiatives to learn from?
2. As time passes and there are more ideas in each station, participants will probably need less time. Recommended times for the activity: station 1: 20 minutes, station 2: 15 minutes, station 3: 10 minutes, station 4: 5 minutes. An alternative is for each group of participants to brainstorm and discuss only one of the topics.
4. Participants take some time to go around the room and read all the proposed projects and actions for each goal or theme. Individually, they vote on a pre-defined number of projects (e.g. 2 for each goal). This can be done using voting dots (stickers). The goal is to map which projects are the most important for the collective of all participants.

Step 3. Spatialisation

1. Participants divide into groups again, and stay in one of the thematic stations. They review the most voted projects, and have a discussion of their relevance to the goal and area of intervention.
2. Using a map, they identify the area(s) and specific locations where these projects and actions could be implemented.

Tip: For this activity, it is useful to have the constraints, challenges and opportunities, and constraints map, the conceptual structure and the spatial strategies maps printed out for reference.

3. Each group shares their results in plenary, collecting feedback or any other projects or locations that come up. A notetaker should document the discussion.

Step 4. Systematization and list of strategic projects

4. After the workshop, the technical team systematizes the information to define a list of projects in alignment with the vision, goals, strategies and lines of action. Additionally, different categories can be added, such as their level of complexity, their possible cost, the number of objectives to which they respond, etc., which will later serve in the prioritization and programming of projects. Strategic projects should be linked to more than one objective. The final list of projects can be shared with the workshop participants and/or advisory committee for feedback and validation.

Tip: The projects obtained from the workshop can also be categorised into other themes, for example:

- **Metropolitan:** those that go beyond municipal boundaries and therefore require greater coordination of actors and effective governance for implementation:
- **Catalytic:** smaller scale interventions with the possibility of being implemented in the short term.
- **Strategic:** projects that respond to several objectives of the plan and vision, are located in priority and strategic areas and their implementation can trigger comprehensive urban processes.

T33 Project Prioritisation Template

Description This tool provides a rational criteria to prioritise catalytic projects for the Strategic Development Plan and identify which are the most urgent projects to develop.

Participants This activity is carried out by the technical team.

Instructions

1. Use the template at the end of this tool to list the catalytic projects that emerged during the Catalytic Projects Workshop.
2. Indicate which goals and targets would be fulfilled by implementing the listed projects and if they are located in a prioritised area.
3. Evaluate the criteria and evaluation guide below. Particularly, the impact is related to the social and environmental benefits that the implementation of the project would bring. Use the following guiding questions to evaluate these three components. Ideally, projects with a greater number of ✓ should be prioritised.
 - a. What is the cost of the overall project implementation? Does this impact the municipality's existing budget?
 - b. How long would it take to implement the project? Would it be completed within the current municipal mandate? If not, will the next government be able to complete it?
 - c. Are there any partners or stakeholders willing to finance this specific project? Are there any regional or national bonuses provided for such projects?
 - d. How does this project improve the quality of life of city dwellers and of the surrounding residents? What are the threats this project could bring to society?
 - e. Does the project respond to an urgent situation that requires quick responses?
 - f. What is the environmental footprint of the project? Would it reduce carbon emissions? Would it improve the resilience of the city and the region?
 - g. Overall, is this project a "low hanging fruit", easy to reach and with great positive impact?
 - h. Is this project also considered a national or regional priority?

- Priority Area (1 = low priority; 2 = medium priority; 3 = high priority)
- Cost (1 = high cost; 2 = medium cost; 3 = low cost)
- Time (1 = long-term; 2 = mid-term; 3 = short-term)
- Technical feasibility (1 = difficult; 2 = feasible; 3 = easy)
- Urgency (1 = not urgent; 2 = urgent; 3 = very urgent)
- Stakeholder acceptability (1 = low; 2 = medium; 3 = high)
- Impact (1 = low impact; 2 = medium impact; 3 = high impact)
- Mainstreaming potential (1 = low; 2 = medium; 3 = high)

T33 Project Prioritisation Template

Prioritisation Template

| | Catalytic or strategic projects | Linked Goals | Linked targets | Priority Area | Cost | Time | Technical feasibility | Urgency | Stakeholder acceptability | Impact | Mainstreaming potential | SCORE | RELATIVE RANK |
|----|---------------------------------|--------------|----------------|---------------|------|------|-----------------------|---------|---------------------------|--------|-------------------------|-------|---------------|
| 1 | Highway construction | 1, 3, 5 | 1.2, 3.3, 5.1 | 3 | 1 | 2 | 2 | 2 | 3 | 3 | 2 | | |
| 2 | Church | 2 | 2.1 | 1 | 3 | 3 | 3 | 1 | 2 | 1 | 1 | | |
| 3 | | | | | | | | | | | | | |
| 4 | | | | | | | | | | | | | |
| 5 | | | | | | | | | | | | | |
| 6 | | | | | | | | | | | | | |
| 7 | | | | | | | | | | | | | |
| 8 | | | | | | | | | | | | | |
| 9 | | | | | | | | | | | | | |
| 10 | | | | | | | | | | | | | |

T34 Adaptation Options Identification

Description This tool is used to prepare a checklist of possible adaptation options based on the identification of climate hazards and their potential impacts, while also considering the urban planning goals and targets

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

Instructions

Step 1. Formulate a longlist of possible adaptation options

1. Identify the main climate hazards and primary and secondary impacts. The implementation of the T17 Climate Impact Chain Diagram, T16 Participatory incremental Mapping and the T20 Climate Vulnerability Assessment can facilitate the identification of climate hazards.
2. Identify at least three possible adaptation options for each impact. Climate adaptation options cover an extensive number of possibilities that include, actions, policies, strategies and programmes for increasing adaptive capacity through physical transformation/conservation of the built and natural environment and through strengthening the social and institutional response and capacities to address climate impacts.

| Climate Hazard | Primary/secondary impacts | Adaptation Options |
|----------------|---------------------------------|---|
| Drought | Reduced water supply | <ol style="list-style-type: none"> 1. Water management plan 2. Water conservation and awareness programme 3. Rainwater harvesting 4. groundwater recharge and improved infiltration 5. Minimise system leaks and other water loss (e.g. surface reservoir evaporation) 6. Expanded or new reservoir capacity 7. Infrastructure upgrades and repair (e.g. reservoirs) |
| | Reduced power generation | <ol style="list-style-type: none"> 1. Construct or augment water storage reservoirs 2. Optimise reservoir management and improve energy output by adapting to changes in rainfall or river flow patterns 3. Support alternative energy production and distribution systems (e.g. urban solar and wind power) |
| | Reduced agricultural production | <ol style="list-style-type: none"> 1. Construct infrastructure for aquifer storage and recovery 2. Implement watershed management 3. Create drought emergency response and contingency plans 4. Adopt drought-resilient crops and diverse crop production 5. Diversify water supply through different sources (e.g. rainwater harvesting, water trading establishment, desalination) |

Step 2. Link Goals and targets with adaptation options.

T34 Adaptation Options Identification

Based on the longlist elaborated in Step 1, the city's targets and goals should also be able to mainstream climate change adaptation options.

1. For each of the city's goals, describe whether and how the achievement of its targets could be affected by climate change.
2. For those targets where a risk of climate change has been identified, select the suggested adaptation option from the long list that would allow for adaptation to the impacts of climate change and therefore help achieve the target. Note that some of the adaptation options that are linked to a goal and target may not have been identified in the list of adaptation options.

| Goals | Targets | Link to climate change (risks, threats and impacts) | Affected by climate change? | | Adaptation Options |
|------------------------------|-------------------------------|---|-----------------------------|----|--|
| | | | Yes | No | |
| Promote community well-being | Protect drinking water supply | Seasonal droughts reduce water supply | x | | <ol style="list-style-type: none"> 1. Implement a water management plan. 2. Implement a water conservation and awareness programme. 3. Adopt rainwater harvesting, 4. Groundwater recharge and improved infiltration. 5. Minimise system leaks and other water loss (e.g. surface reservoir evaporation). |
| Prosperous cities | Improve energy supply | Power generation susceptible to be reduced due to a lack of water during periods of drought | x | | <ol style="list-style-type: none"> 1. Construct or augment water storage reservoirs 2. Optimise reservoir management and improve energy output by adapting to changes in rainfall or river flow patterns 3. Support alternative energy production and distribution systems (e.g. urban solar and wind power) |
| | Expand regional rail links | Not affected | | x | |

T35 Preliminary Financial Plan Template

Description This tool provides two templates to map the necessary information and criteria in order to develop a preliminary financial plan.

Participants This activity is carried out by the members of the technical team with a strong knowledge of finance and economics.

Link [Digital Tool spreadsheet](#)

Table 1. Mapping activities and projects to Financial Mechanisms Template

Instructions

1. Review the results from T4 Financial Assessment Guide and add the available resources for the project (Initial budget).
2. List the activities foreseen by each project, their estimated cost and the time frame needed to implement them. This costing would need to look for examples of the public infrastructure that needs to be put in place as per project, as well as additional operational costs (e.g., management, monitoring, communication).
3. Map the financial mechanisms identified as potentially most suitable: it is best to start linking them to each activity.
4. Indicate if the financial mechanism is new or not. A new financial mechanism is not foreseen nor has never been implemented in the legal and financial framework of the plan.
5. Calculate a range of estimated revenue that can be obtained by each financial mechanism.

| Project | Estimated cost | | Time Frame | Financial Mechanism | Is the FM new? | Estimated revenue of FM (range) | | Periodicity |
|---------------------|----------------|-----|------------|---------------------|----------------|---------------------------------|-----|-----------------|
| | min | max | | | | min | max | |
| Example: Management | | | 12 months | Own Source Revenue | No | | | |
| | | | | | Yes | | | One time charge |
| | | | | | | | | |
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T35 Preliminary Financial Plan Template

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|--|--|--|--|--|--|--|--|--|
| | | | | | | | | |
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| | | | | | | | | |

| Initial budget (T4) | Total Estimated cost | | Budget gap | Total estimated revenue | |
|---------------------|----------------------|---|------------|-------------------------|-----|
| | | | | min | max |
| | 0 | 0 | | 0 | 0 |

Table 2. Implementation of new financial mechanisms: feasibility assessment table

Instructions

List all the financial mechanisms that have been indicated as new in the previous table.

1. Indicate who has the authority to implement the financial mechanisms.
2. Indicate the approximate time that would be needed for the mechanism to be authorised by the relevant authority. Take into account also the time needed to get approval to use the new mechanism for this specific plan. Indicate if the time needed is compatible with the overall time available to develop the plan.

| Financial mechanism | Authority to implement | if no, specify who does | Implementation time | Compatibility with plan time framework |
|---------------------|------------------------|-------------------------|---------------------|--|
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Tip: For this activity, it is useful to list all the references and resources containing important information related to the future implementability of the financial mechanisms (e.g. laws, past application cases, forms, documents etc.)

T36 Compatibility of Functions Guide

Description This tool guides the definition of forbidden, tolerated and conditional uses for each land-use category, depending on development zones and planned densities.

Participants This activity is carried out by the technical team.

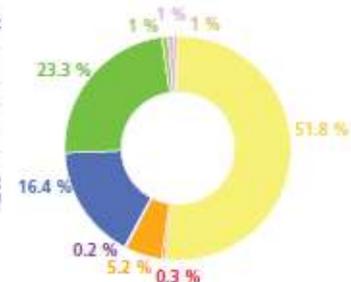
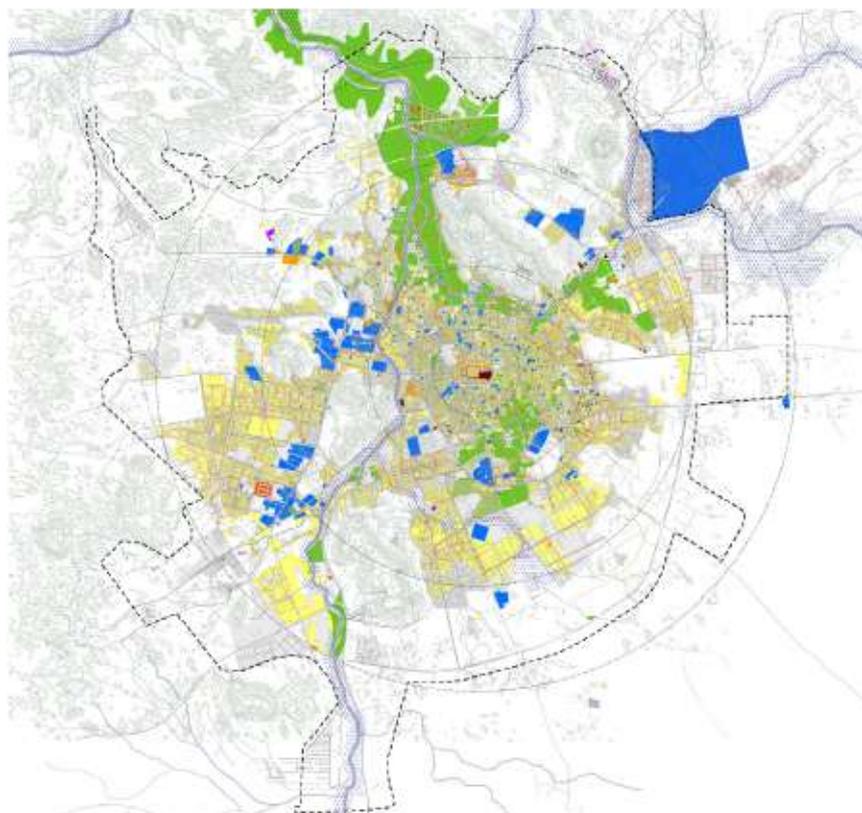
Instructions

1. Define land-use categories considering the specificity of the context, such the following:

- a. Residential
- b. Commercial
- c. Mixed-use
- d. Industrial / transport
- e. Education
- f. Religion
- g. Heritage
- h. Administrative & Public Facilities
- i. Public open space
- j. Agriculture
- k. Protected areas (wetlands, national park)

Tip: Land-use categories should not be too detailed, but rather simple, and there should be no more than 7-10 categories. This will help to simplify regulatory directives and understand the city structure. Depending on the context, functions such as religious buildings or schools could be part of "public facilities", and theatres, libraries and cinemas could be part of a "cultural facilities" category.

Example of proposed land-use map:



T36 Compatibility of Functions Guide

Madinah, Saudi Arabia (Future Saudi Cities Programme, UN-Habitat, 2018. Resource [Link](#))

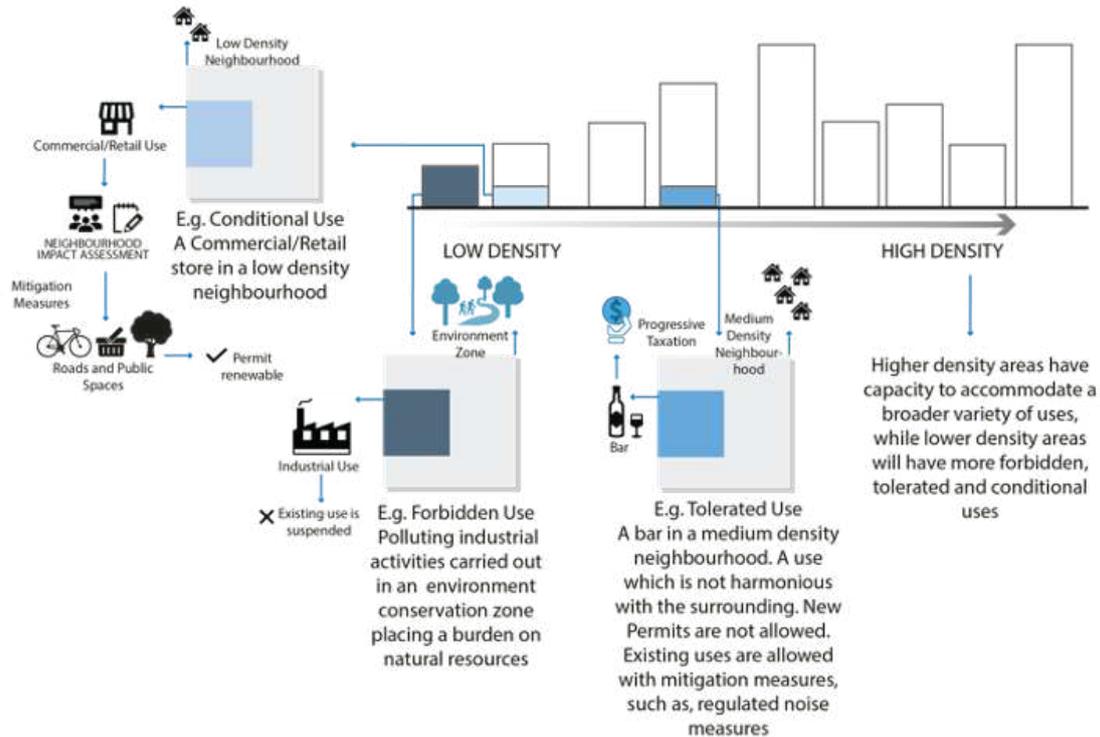
Before assigning land-use categories to sub-zones and plots, it is important to define forbidden, tolerated and conditional uses, considering the development zones and the densities proposed in the Strategic Development Plan. This is a crucial step to improve quality of life, and incentivize best practices 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:

| Forbidden Uses | Tolerated Uses | Conditional Uses |
|---|---|--|
| Planners classify a land use as forbidden only when the use is absolutely incompatible, as they would cause serious social, economic and environmental disruptions. | 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. | Planners classify uses as conditional whenever they can potentially generate social, economic and environmental impacts on a neighbourhood. |
| Developers are prohibited from developing incompatible uses. Existing forbidden uses face progressive taxation and could be dismissed in exchange of development rights or other compensation mechanisms. | 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. | Developers are entitled to new permits under certain conditions and the approval of local participatory governance mechanisms and mitigation measures. |

Relation between forbidden, tolerated and conditional uses and urban density:

T36 Compatibility of Functions Guide



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

| Category | Forbidden Uses | Tolerated Uses | Conditional Uses |
|-------------|----------------|----------------|------------------|
| Residential | | | |

T36 Compatibility of Functions Guide

| | | | |
|------------------------|--|--|--|
| Commercial | | | |
| Mixed-use | | | |
| Industrial / transport | | | |
| Education | | | |
| Religion | | | |
| Heritage | | | |
| Administrative | | | |
| Public open space | | | |
| Agriculture | | | |
| Protected areas | | | |
| Public facilities | | | |
| Other | | | |

T37 Land Use Indicators

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:

| Indicator | Description |
|--------------------------------|--|
| Building Coverage Ratio (BCR), | Also called development index, it is the ratio between the building footprint and the plot area. This index is used to ensure a minimum of permeable surface in the plot and it varies between 0%, permeable area is zero, and 100% which means that it is not possible to build on this area. This index is useful in environmentally sensitive areas or in protected areas. |
| Urban Green Spaces (UGS) | This ratio describes the surface of green spaces per capita. The World Health Organisation (WHO) recommended a minimum of 9m ² of green space per individual, the ideal UGS value being 50 m ² per capita. |
| Floor Area Ratio (FAR) | 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: <i>basic FAR, property FAR and incentive FAR.</i> |
| Basic FAR | 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. |
| Property FAR | It is the maximum acquirable development rights in a plot. Developers pay progressive taxation considering how much they are willing to develop. |
| Incentive FAR | 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. |

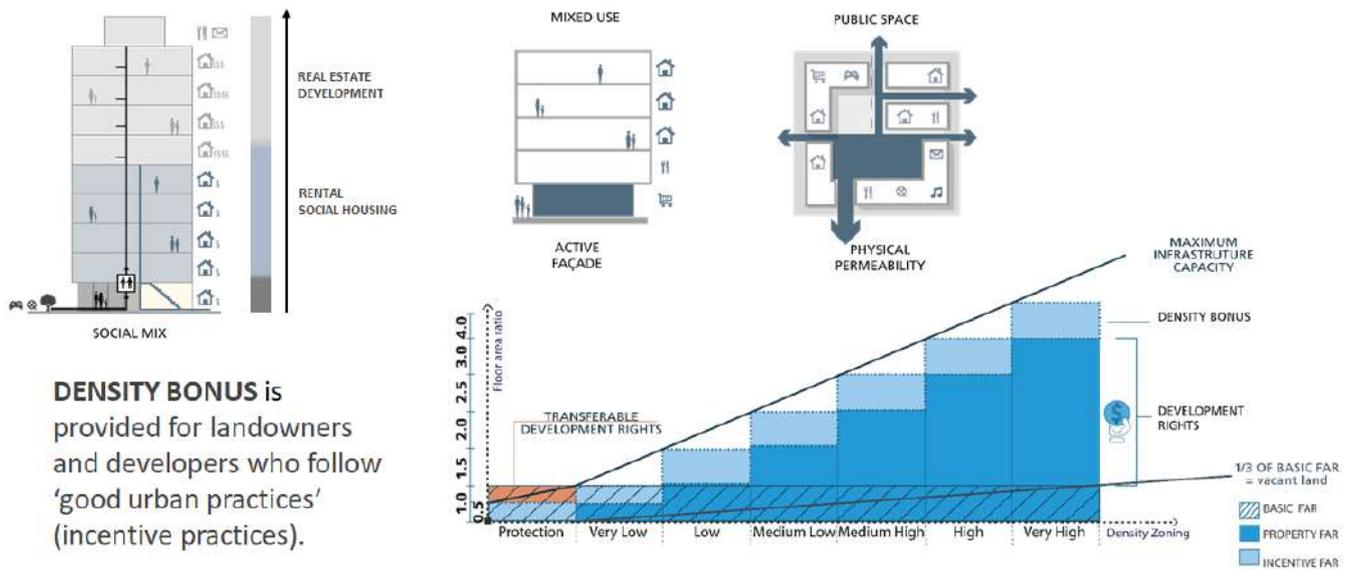
Note: Basic, Property and incentive FAR are also related to forbidden, tolerated and conditional uses. As mentioned earlier, forbidden use is not allowed. Developers are allowed to build tolerated use, however, they would not be able to access new development permits, being restricted to the basic FAR, and might face progressive taxation. Conditional

T37 Land Use Indicators

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.). |

Relations between the maximum infrastructure capacity, the FAR indexes and the Density Bonus:



1. Review any existing local, regional or national document related to these indexes.
2. Define the indexes for each sub-zone, considering the spatial strategies defined for that specific area and the implications identified in the Spatial Strategies Guide (T29 of Activity E18) (extension, densification, regeneration, conservation). The indexes should support the implementation of a compact and diverse city.
3. Fill in the following ID table for each sub-zone of the city and compile them together in a comprehensive report that will form the Land Management Plan.

T37 Land Use Indicators

Parcel ID: Area:

Insert scaled map of the sub-zone

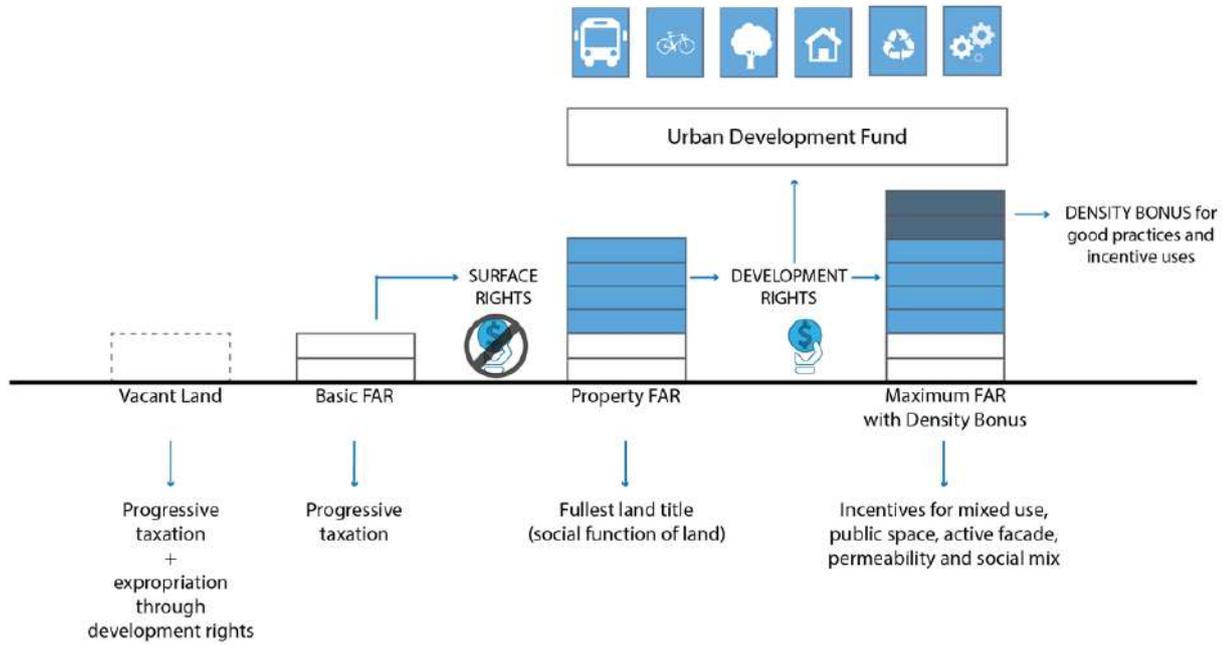
| | |
|---------------------------------------|--|
| Developing Zone | <i>Strategic / Social / Environmental / Cultural - Transformation / Consolidation zone</i> |
| Strategic Density | <i>High / medium / low</i> |
| Spatial Strategy | <i>Expansion / regeneration / densification / conservation / none</i> |
| Land-use | |
| Forbidden/ tolerated/ conditional use | |
| BCR | % |
| UGS | <i>m²/capita</i> |
| Basic FAR | % |
| Property FAR | % |
| Incentive FAR | % |
| Maximum # stories | # |
| Maximum height (m) | <i>m</i> |
| Thematic recommendations | <i>Basic services, housing, electricity, drainage, etc.</i> |
| Cross-cutting recommendations | <i>Social inclusion, safety, resilience</i> |
| Notes | |

Step 2. Define simplified land-based finance mechanisms

Define a series of land-based finance mechanisms to regulate the city development through incentives. There are several strategies to encourage best urban practices and development of conditional uses. Use the list included in the T5 Financial Mechanisms Catalogue tool as a reference.

T37 Land Use Indicators

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



T38 Detailed Data Gathering and Analysis

Description This tool guides the additional data gathering and analysis needed to develop the Neighbourhood Plan.

Participants This activity is carried out by the technical team, although some activities for field research can include external participants (e.g. actors from the local community, local experts, etc.).

Instructions

1. Review the data produced from the city Block D Analysis and Diagnostic. Most of the information needed for the Neighbourhood Plan should have been compiled at the city level. Review the information corresponding to the selected neighbourhood and review that it is accurate. Take note of any layer or area that needs to be updated or adjusted with additional field research. Finally, produce new detailed maps corresponding to the selected neighbourhood area.
2. Additional and more detailed information should be gathered at the neighbourhood scale. Using the tables below as a guide, define the data that should be compiled and choose the research method to collect it.

Additional Data Gathering and Analysis for the Neighbourhood Scale

| | |
|--|--|
| Crime and insecurity | 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.). |
| Local climate hazards | Areas with the greatest historical damage due to earthquakes Areas exposed to volcanic hazards Areas that are exposed to climate-related hazards (e.g., areas prone to floods, steep slopes prone to landslides). Areas that are not exposed to climate-related hazards (safe havens). Areas prone to water stagnation. Past climate-related events and their impacts on the community (e.g., flood levels reached) |
| Economic activity and employment | 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) |
| Public Open Spaces | 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 of how to collect data of public spaces, use the Public Space Site-Specific Assessment (https://unhabitat.org/public-space-site-specific-assessment-guidelines-to-achieve-quality-public-spaces-at-neighbourhood). |
| Urban morphology and building typologies | Classification of urban morphology and building typologies according to different areas. Quality of buildings and location of urban voids. |
| Mobility | Intraurban connectivity, most transited routes and streets, public transportation routes. Location and physical characteristics of bike lanes and sidewalks. Motorised and non-motorized transportation modes, modal split. Origin-destination trips. |

T38 Detailed Data Gathering and Analysis

| | |
|-----------------------------|--|
| Location of urban amenities | Location of urban amenities and their accessibility: educational (schools and universities), residential, commercial (shops, markets, banks), industrial (heavy and light), cultural, religious centres, health centres, public open spaces (recreational areas, sports facilities, parks, public squares), government buildings, etc. |
| Housing | Real estate offer, number of units, number of inhabitants per dwelling and per room, prevailing materials, etc. |
| Access to basic services | Electricity and street lighting, water and sewage, waste management, telecommunications, etc. |
| Informal settlements | geographic location and boundaries, total surface area in km ² , number of inhabitants, slum conditions, etc. |
| Demography and migration | number of migrant population and demographics, areas of highest migration pressure, main migrant neighbourhoods, main origin, etc. |

Methods for Data Gathering

| | |
|--|---|
| Desk Research | Collect information from existing studies and/or government/institutions. |
| Observations/ Reconnaissance surveys | 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. |
| Exploratory walks | Experience the neighbourhood through the eyes of daily users by walking and exploring it together. |
| Surveys (digital or in person) | Get statistical information from and by the community about their perception and opinion of the neighbourhood. |
| Interviews | Gather data about specific aspects of the neighbourhood that require specific expertise or knowledge from relevant stakeholders. |
| Focus group discussion | Gather people's opinions and ideas on how they perceive their neighbourhood and collaboratively map challenges and opportunities. |

T39 Neighbourhood Planning Workshop Guide

Description This tool guides the Neighbourhood Planning Workshop, in which a conceptual scheme for the neighbourhood is developed by the community.

Participants This workshop is carried out by the technical team and relevant stakeholders regarding the selected neighbourhood. (See the Workshop Checklist (T7) tool for more details).

Materials

Maps:

- Analysis maps of the neighbourhood, produced in the detailed data gathering and analysis activity.
- Printed base map(s) and aerial image(s) of the neighbourhood.

Drawing & sketching tools:

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

Step 1. Neighbourhood Goals and Targets

1. *In plenary, the technical team shares a presentation that includes:*
 - a) *The neighbourhood boundary and the stakeholder mapping exercise for the neighbourhood scale.*
 - b) *The spatial maps produced in the detailed data gathering and analysis activity, highlighting the challenges and opportunities, for example, the identified climate risk hotspots, informal settlements or critical infrastructure.*
 - c) *The city's vision, targets, and goals.*
2. *Participants provide feedback, comments, and questions in a facilitated discussion. The comments should be documented by someone in the technical team to later incorporate them to the maps and documents.*
3. *Divide participants into smaller groups. Each group has a facilitated discussion to select the goals and targets (defined in the city's Strategic Development Plan (Block E)) that are relevant to the neighbourhood and should be included in the Neighbourhood Plan.*

Tip: *Groups can be divided according to different thematic areas and can discuss and choose from the goals and targets corresponding to that specific topic (e.g. adequate housing and urban services, mobility and accessibility, climate change and resiliency, social cohesion and participation, etc.). The selection must consider relevance to the specific context and neighbourhood, level of priority, and expected implementation period (short - medium - long term).*

Step 2. Neighbourhood Conceptual Design

1. *In the smaller groups, collaboratively discuss and draw on top of a base map which are the main streets (paths) and current urban structure.*

Tip: *Use different colours to represent the hierarchy and types of paths (main, secondary, local). Place a piece of tracing paper on top of the printed base map to better visualise the drawings.*

T39 Neighbourhood Planning Workshop Guide

2. Discuss what are the participants' local needs and desires regarding their neighbourhood: what would they want to add and/or change? Draw these elements, specific actions and/or interventions on the neighbourhood map, using the following list as a guide.

| Urban Elements and Interventions 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 centres, banks, bars and restaurants, shops, etc. |
| Open public spaces | Natural spaces, recreational spaces, parks, etc. Improvement of existing spaces (shading, urban furniture, vegetation, etc.), |
| Transportation and mobility infrastructure | New roads, streets, bike lanes, pedestrian crossings, signage, 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 colours to represent different types of urban elements. In the discussion, take note of the specific elements participants propose: not all elements need to be new projects, some could be specific interventions that contribute to better urban design.

3. Each group consolidates a conceptual neighbourhood design and shares the results and main characteristics with the rest of participants. Then, there is a facilitated discussion in plenary to identify patterns and coincidences across all groups. This information will be later synthesised by the technical team in order to include it in the neighbourhood plan design.

T41 Citizen engagement guide

Description

This tool aims to provide guidelines to carry out participatory activities of the content developed by the technical team and as a result achieve citizen engagement and empowerment.

Participants

Those activities related to citizen engagement will be led by the technical team for a general audience and all the different stakeholders and urban actors within the city.

Considerations:

- *It is important to emphasize that within the planning regulatory frameworks of each country there may be an official procedure to formally initiate the participatory planning and participatory consultation processes, which should be reviewed.*
- *The components do not necessarily have to be performed in a linear fashion; they can be performed in parallel at the same time.*
- *More than thinking about the quantity of participants, we should think about the quality of participation, including the representation of different groups such as minorities, vulnerable and marginalized groups, that is being achieved.*
- *Instead of waiting for citizens to come forward, city leaders should go to citizens to receive more diverse input. Move public hearings directly to sites that will be subject to the Strategic Development Plan and are spaces of relevance to the community (Community Center, School, Park, Plaza, etc.).*
- *Convene open forums on a regular basis, provide sign language translators, be flexible and open to address agendas with unique and specific neighborhood/public issues rather than standardized city agency priorities. This can help ensure constructive input from diverse groups.*
- *Feedback from the community should not be limited to a traditional verbal format. They can be received through drawings, notes or letters.*
- *While all activities are important, their use will depend on the type of plan and the information to be validated. Particularly in the engagement phase.*
- *The success of this process is its repetition and the involvement of diverse citizens during the process.*



T41 Citizen engagement guide

1. Review and understand the different formats for socialization, consultation and involvement, using the following catalog.

| Catalog of Strategies for Citizen Engagement | | | |
|--|--------------------------|--|---|
| | Strategy | Definition | Examples |
| Socialize | Exhibits | People need to know what an issue is about in order to decide whether they want to participate. One way to inform and encourage people to participate is to set up displays in public places, such as a shopping mall or street fairs. Examples of social displays can be found in the <i>Neighborhood Index</i> . | Museum of Us- Old Kent Road |
| | News | Press releases, radio or television stations are ways to get citizens interested in the project. Virtual platforms can have newsletters, and are an effective way to maintain interest during a prolonged decision-making process. An example of this type of platform is "Quito Decide", a virtual space that allows citizens to share ideas, vote for municipal initiatives and learn about the mechanisms available to actively participate in the administration of the capital. | Quito Decides Platform |
| | Guided Tours | Another approach to facilitate user awareness of environmental situations, particularly when people have adapted to intolerable conditions, is a planned walk or tour of the project area. This walk allows participants to rediscover a familiar situation or familiarize the participant with a new situation. This approach could include a map or plan that designates specific stops to record impressions and a list of specific tasks. | Open House NY Jane Walks |
| | Activations | These are demonstrative events, either in public or private spaces, where the experience and intentions that the plan seeks to achieve in a neighborhood, area or city are replicated. It is a way to socialize the plan through action. It is done through light, low-cost and quick implementation interventions to explore alternatives for neighborhood improvement. | Shared Street, Danli Honduras Districts of Opportunity, Guatemala City |
| Consult | Questionnaires / Surveys | It is important that the information and data that helps to justify the plans is not only quantitative, but also qualitative. For this, cities must be able to design these instruments with a focus on the user experience. Particularly if they are neighborhood scale plans. These surveys can be placed on the platform or at the end of any of the socialization activities. Consider creative and artistic formats. | Public Life Tools H7-Workshop checklist |
| | Group Interviews | Many times the traditional interview model can be intimidating. Rather, the team should consider traditional encounters across cultures, often a common denominator and unifier is a meal. The Gran Malón is an exercise where neighbors are invited to a meal and can comfortably discuss their opinions and ideas regarding the plan. | Gran Malón |
| | Workshops/Work sessions | As with all consultation activities, the ages of those who will participate in the workshops should be considered. There | Place It! H7-Workshop Checklist |

T41 Citizen engagement guide

| | | | |
|----------------|----------------------------------|---|---|
| | | are workshops that can be for all ages such as the work of James Rojas who through the use of everyday objects gives people the opportunity to build ideal neighborhood cities. | |
| | Drawing or mapping inputs | The use of visual and non-writing methods of collecting inputs is a highly efficient and good strategy that is particularly suited for work with children and young people across a variety of cultural contexts. | Participatory Drawing – Berkeley Art Center |
| Involve | Ideation | Co-create solutions with your community members by giving them a platform for new ideas. | |
| | Participatory Budgeting | Let your community members allocate a budget using our tool to get feedback on what they think you should invest. | Quito Decides Platform Yo Alcalde Platform |
| | Citizen Proposal | It allows community members to suggest projects on any topic and gather support. | |

2. Once you have reviewed the catalog, identify those activities that you consider appropriate to achieve citizen engagement of the plan to be presented and validated. To do so, fill out the following data sheet.

1. ACTIVITY *Living the City Exhibit*

Tip: Repeat the following table for each process activity

Objective: To *present the proposal for the planning of Guatemala City for 2050. Which will introduce the 7 opportunity districts of the city.*

Target *1000 visitors in a 12-month period.*

Audience: *Developers, neighbors, professional associations, university students, municipal employees, mayors and technical teams of the department of Guatemala, embassies, central government.*

Time: *This exhibition will take place over the course of 12 months. Each month the exhibit is proposed to be in 12 different locations.*

Venue: *Designed in modular structures for easy mobilization. It is expected to be placed in universities, museums, relevant spaces in the 6 districts of opportunity, municipalities, architecture biennial, forums, and other places.*

Activity description

The exhibition is structured in four parts:

- 1. History of the City and its historical evolution over the last 200 years*
- 2. The detonating projects of the city (housing plan, mobility plan)*
- 3. The 7 Districts of Opportunity*
- 4. Consultation component* (how do you live your city, where do you live, study and recreate)*

Those who visit the exhibition will also receive a notebook and printed material with summarized information about the districts of opportunity

**A separate file will be created for the consultation component.*

Fill in the following information according to the selected audience, type and schedule

T41 Citizen engagement guide

Participants

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

1. *Developers*
2. *Residents of the districts*
3. *Professional Guild*
4. *University students*
5. *Municipal employees*
6. *Mayors and technical team of the department of Guatemala*
7. *Embassies*
8. *Central Government*

Materials needed

List all the materials needed for the activity. *Hint: think about the materials that need to be developed (ppt, handouts, etc.) and those that need to be procured (stationery). Refer to H7 Workshop Checklist for reference.*

1. *TV*
- Tablets*
3. *Printed panels*
4. *Brochure*
5. *Stickers*
6. *Notebook*
7. *Post-its*
8. *Sound equipment*

Vulnerable Groups

A particular attention should be given to minority, marginalized and vulnerable peoples that have been identified in specific cities and target areas, they should be consulted and their interests or concerns taken into account. List who are the vulnerable groups that need to be involved in the process and may need a different approach

1. *Indigenous people*
2. *Migrants*
3. *IDPs*

T42 Strategy Framework Guide

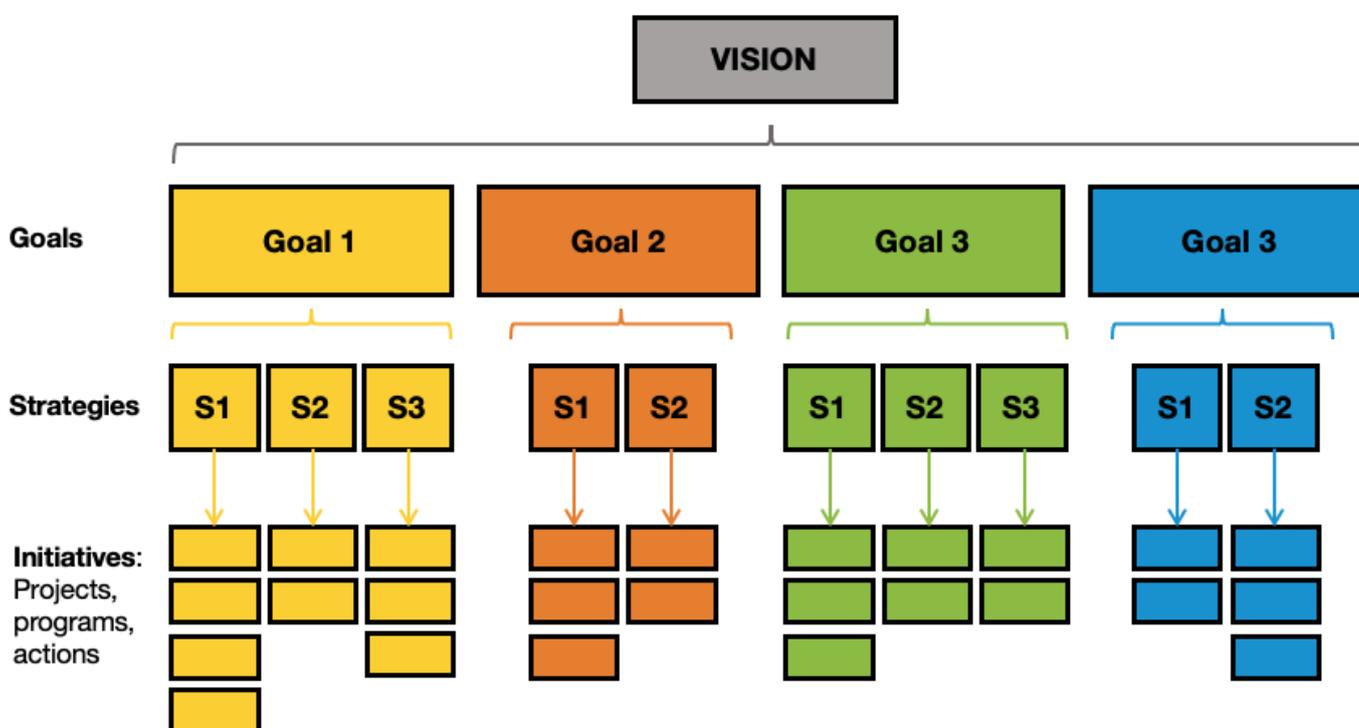
Description

This tool guides the structure to develop the framework for the strategies, lines of action, targets and actions linked to the goals of the plan that are set in the vision.

Participants

This activity is carried out by the technical team and must be validated by the advisory committee, the steering committee and other key stakeholders.

Instructions



The previous diagram represents the proposed structure of the framework that comprises the Vision, Goals, Strategies and Initiatives.

1. Review the results and inputs gathered from the **Strategic Visioning Workshop (Activity 17)** and **Spatialisation of the Strategic Vision (Activity 19)**.
2. Review and adjust the goals of the plan. They can be aligned to relevant themes from the diagnosis and other current documents and agendas.

Examples from [Ciudad Juarez City Vision](#):

T42 Strategy Framework Guide

Objectives

- **1 Sustainable and resilient city**

It addresses the environmental issue from an integrated approach that seeks to articulate the urban and rural areas. It brings together actions focused on facilitating the sustainable management of natural resources in the municipality in order to protect and optimize the ecosystem, reduce risks related to climate change.
- **2 Prosperous and dynamic city**

Concentrates economic and territorial development strategies that prioritize the promotion, diversification and consolidation of economic activities that reduce urban inequalities, thus creating an environment conducive to the detonation of value-added job opportunities.
- **3 Holistically planned city**

It integrates actions focused on the inclusive and intelligent planning of urban land to guarantee the provision of adequate housing and urban equipment, the consolidation of a system of quality and dignified public spaces for all people.
- **4 City of strong and participatory communities**

Integrates actions that celebrate diversity in the city, strengthening social cohesion, intercultural dialogue, understanding, tolerance, mutual respect, gender equality, innovation, inclusion, identity, security and dignity of all people by promoting the generation of livable spaces.
- **5 City of solidarity and a culture of peace**

Strengthens the social fabric of the city based primarily on the promotion of a culture of peace among all its inhabitants. To this end, diversity will be recognized as one of the main strengths of the municipality. This objective focuses on strategies that promote opportunities for all inhabitants.

3. Develop strategies for each of the goals. Strategies should be guidelines from which the goals are achieved.

Tip: Strategies can be organised according to each goal, but it is recommended to consider the following sectoral dimensions: socio-cultural, environmental, urban-rural, economic and political-institutional as well as the 6Ps from the 2030 Agenda: People, Planet, Partnerships, Prosperity, Peace, Planning. Strategies should be comprehensive and respond to the challenges and needs identified, as well as be congruent with the municipality's capacity to act.

4. Define a series of initiatives with a narrower scope and purpose for each of the strategies. These may have different characteristics: plans, programs, projects - e.g. updating or changing the regulatory framework, establishing management instruments, developing linked programmes or specific strategic projects, etc. During Phase 3, a clear target will be identified for each of the initiatives, as well as if they are ongoing or planned activities, what are the linked initiatives, responsibilities, etc. According to the scope needed, capacities, time, etc., more specific actions could be detailed within each initiative.

Tip: To determine the initiatives, review the inputs and outputs from previous participatory activities, where ideas were gathered on possible actions, projects and interventions to achieve the stated vision.

5. Consolidate the framework of vision, goals, strategies and initiatives according to structure presented in the beginning of the tool.

T42 Strategy Framework Guide

Example Ciudad Juarez City Vision:



Objective 1: Sustainable and resilient city

This objective addresses the environmental issues from an integrated approach that aims to articulate the urban and rural spheres. The objective brings together actions focused on facilitating the sustainable management of natural resources in the municipality in order to protect and optimise the ecosystem, reduce risks related to climate change and consolidate the environmental resilience of Ciudad Juarez.

| Themes | Municipal Strategy Alignment | SDG alignment |
|---|---|---------------|
| Environment, climate change, public space, storm drainage, agricultural production. | <p>AXIS 3: Economics for Well-being</p> <p>AXIS 4: Spatial and Urban Planning</p> | |

Strategy 1: Transform Juarez into a sustainable and environmentally responsible city.

| Initiative | Dead-line | Responsible Actor | Collaborating Actors |
|---|-----------|--|--|
| <p>1.1.1 Strengthen municipal environmental agencies to promote the creation, updating, monitoring and enforcement of environmental strategies, standards, regulations, and laws.</p> | Medium | Council Secretariat, City Council of Ciudad Juarez | Municipal Government |
| <p>1.1.2 Consolidate tree planting and landscape architecture development projects. Through a programme that encourages the appropriate cultivation of endemic species and promotes the development of municipal nurseries.</p> | Short | Directorate-General for Public Services | Municipal Government, Academy |
| <p>1.1.3 Increase the number of air quality monitoring stations, mainly PM 10 and PM 2.5 particles.</p> | Medium | Directorate of Ecology | Municipal Government, State Government, Federal Government |
| <p>1.1.4 Implement an adequate waste management programme in the city, including domestic and industrial waste, including recycling, tyre management and reuse of resources.</p> | Short | Directorate-General for Public Services | Municipal Government, Business Chambers |
| <p>1.1.5 Promote the use of sustainable energy generated in the municipality for domestic, industrial, or public facilities.</p> | Medium | Resilience Coordination | Municipal Government, Business Chambers |

T42 Strategy Framework Guide

Example Master Plan for the Nichupté Bridge, Cancún, Mexico, which includes a similar structure, including the targets:

Goal: Prosperous and diversified city

| | | |
|--|--|--|
| Strategy 1 | Transforming the Nichupté Bridge's polygon of action, as well as its area of influence, into a new centrality for Cancún. | |
| Sub-strategy | Target | Initiatives |
| a) Encourage the construction of new housing, complementing existing commercial, services and urban equipment. | By 2040, an appropriate balance of land uses in the action polygon will be achieved through the construction of 2,500 housing units on currently vacant or underutilised land. | <ul style="list-style-type: none"> I) Establish and operate regulatory mechanisms to increase housing density in the area. II) Introduce fiscal schemes for vacant land, such as progressive property tax rates and fees for vacant land. III) Reduce parking requirements to make architectural projects more flexible and produce lower-cost buildings. |
| b) Promote the neighbourhood scale in the polygon of action by encouraging mixed uses through the provision of active ground floors in buildings and adequate pedestrian infrastructure. | By 2040, at least 75% of built developments will have active ground floors for retail, services or facilities. | <ul style="list-style-type: none"> I) Develop urban standards/guidelines that favour the integration of the public and private spheres, in particular by regulating parking arrangements. II) Encourage small retail outlets to boost local commercial uses. III) Promote pedestrian permeability through large blocks. |

T43 Facilities and Public space Projections (Step 1)

Instructions: [Copy the data from H24_Urban Expansion Projections into this table.](#)

Use this template to calculate urban expansion projections.

Use a comma (,) for thousands and a period (.) for decimals.

The percentages are already configured, insert numbers only (e.g. for 2%, insert 2).

1. TIME FRAME OF THE DEVELOPMENT PLAN

Indicate in cell (E10) with the year for which the Plan is being developed.

The development plan is for the year: **2030**

2. POPULATION DENSITY

Indicate in cells (B16, C16 and D16) the data of the current year or of the last census of your city (or territory for which you wish to calculate the urban expansion) and the territorial extension of the same.

| Current situation (or data from the last census): | | |
|---|--------------------------|--|
| Year | Total population (inhab) | Average Density (inhab/km ²) |
| 2007 | 8,445,211 | 37,040 |
| | 228.00 | |

3. POPULATION GROWTH

Indicate in cell (E20) the average annual population growth rate of your city (or territory for which you wish to calculate urban expansion). If

Average annual population growth rate (%): **5.00%**

Note: This information can usually be found through literature review. If it is not available, calculate it by filling in the orange cells in the table below.

3.1 POPULATION GROWTH CALCULATION

If you do not have the annual population growth rate, calculate it using the table below. First, fill in the orange cells. Once you have the final result (D25), include it in cell (E20).
Rellena las celdas naranjas de abajo con la población de 2 años diferentes.

| Population Growth Calculation | | |
|-------------------------------|--------------------------|--|
| Year | Total population (inhab) | Average annual population growth rate (%): |
| 2007 | 8,445,211 | |
| 2017 | 9,485,405 | |
| Difference in years | Population Growth | 1.23% |
| 10 | 1,040,194 | |

Note1: For this analysis, the difference in years between year 1 and year 2 should not exceed 10 years.

Example: Comparing data between 2020 and 2009 (11 years difference) could mislead the analysis.

Note2: Prioritize data from recent years. Data should not be older than 15 years.

Example: For a 2020 Development Plan, data from 2000 and 2008 will not be adequate (20 years of comparison). For a 2020 Development Plan, 2019 and 2018 data will be ideal.

Summary: Urban Expansion Projections

Projections for the year: **2030**

| Demographic Growth | | Urban Expansion (km ²) | |
|--------------------|--------------------------|------------------------------------|--------------|
| Ratio (%) | Total population (inhab) | Low density | High density |
| 5.00% | 25,939,666 | 6,500 | 15,000 |
| | 17,494,455 | 10,000 | 1,166.30 |
| | 2,691.45 | 1,749.45 | 1,166.30 |

Note1: Another index (%) can be used if necessary, taking into account the context.

Note2: High-density urban sprawl planning is normally recommended. However, the local context and culture must be taken into account.

Como referencia, consulte los principios de planificación de ONU-Hábitat:

[A new strategy of Sustainable Neighbourhood Planning: Five Principles](#)

T44 Pre-feasibility study template

Description

This template will serve as the basis for the pre-feasibility study.

The pre-feasibility study is a activity to present an assessment of the proposed project and its intervention in terms of technical design, cost and benefits, institutional and financial aspects, social and environmental impacts, legal and regulatory frameworks in which the proposed intervention are expected to be implemented and any other analysis that may impact on the feasibility of the investment.

Participants

This task is carried out by the technical team.

A proposed content and structure of a pre-feasibility study is detailed below:

| Pre-feasibility study Structure | |
|---|---|
| 1. Background and scope of the project | Scope of the study and background overview |
| 2. Context Overview | Baseline assessment and situation based on the Analysis and Diagnostic |
| 3. Preliminary technical study | Technical and design assessment Environmental, economic and social assessments Approximate financial costs; Financing options/ Economic and/or financial viability Legal and regulatory framework Institution and stakeholders analysis Social and environmental impacts Risk assessment Strategy and sustainability |
| 4. Specific information about the project and its implementation strategy | Theory of change Project objective, logic of action and components. Timeline of the implementation |

T44 Pre-feasibility study template

| | | |
|----|-----------------------------|--|
| 5. | Implementation arrangements | Stakeholders analysis and implementation arrangements Capacity assessment and due diligence on the executing entities |
|----|-----------------------------|--|

Use the template below to edit it according to the requirements of each project.

| PRE-FEASIBILITY STUDY SHEET | |
|--|---|
| Project Name | |
| 1. Background and scope of the project | <i>Describe the scope of the project and case description</i> |
| | <i>Background overview (Location, problem statement, objective of the project, etc)</i> |
| 2. Context Overview | <i>Baseline assessment and current situation analysis</i> |
| 3. Pre-feasibility assessment | <i>Technical and design assessment:</i> |

T44 Pre-feasibility study template

| | |
|---|---|
| How will the project be implemented? | Environmental, economic and social assessments: |
| | Environmental: |
| | Economic: |
| | Social: |
| | Approximate financial costs: |
| | Financing options: List the different institutions that potentially have funds to implement this project: |
| | |
| | |
| | |
| | |
| | |
| | |
| Economic and/or financial viability Check the box corresponding to approximate cost | |
| <input type="checkbox"/> less than \$1 million | |
| <input type="checkbox"/> more than \$1 million | |
| <input type="checkbox"/> less than \$10 million | |
| Financing options List the institution and different sources to fund this project | |
| | |
| | |
| | |

T45 Participatory prioritisation guide

Description

This tool guides the participatory prioritization workshop, the results of which will be used to determine the strategic projects portfolio.

Participants

This activity is carried out by the technical team together with the advisory and steering committee I, as well as other actors responsible for implementing the projects.

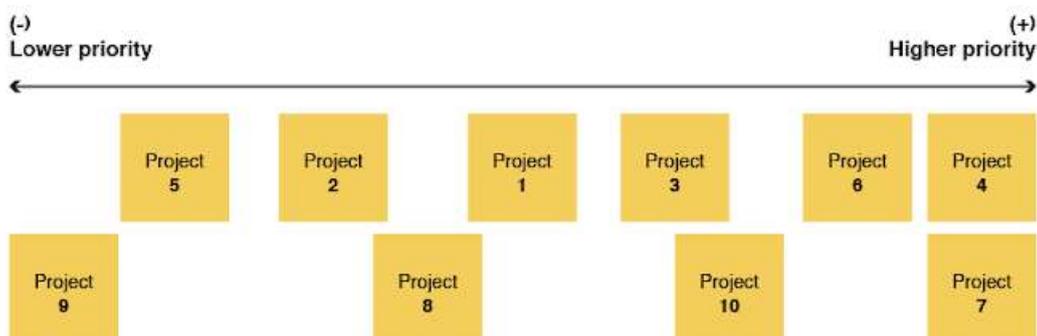
Section 1. Prioritization of the list of projects

Instructions

1. In plenary, present the list of projects that resulted from **Phase 2 Plan** along with the information gathered in **Project Preparation (Activity 35)**.

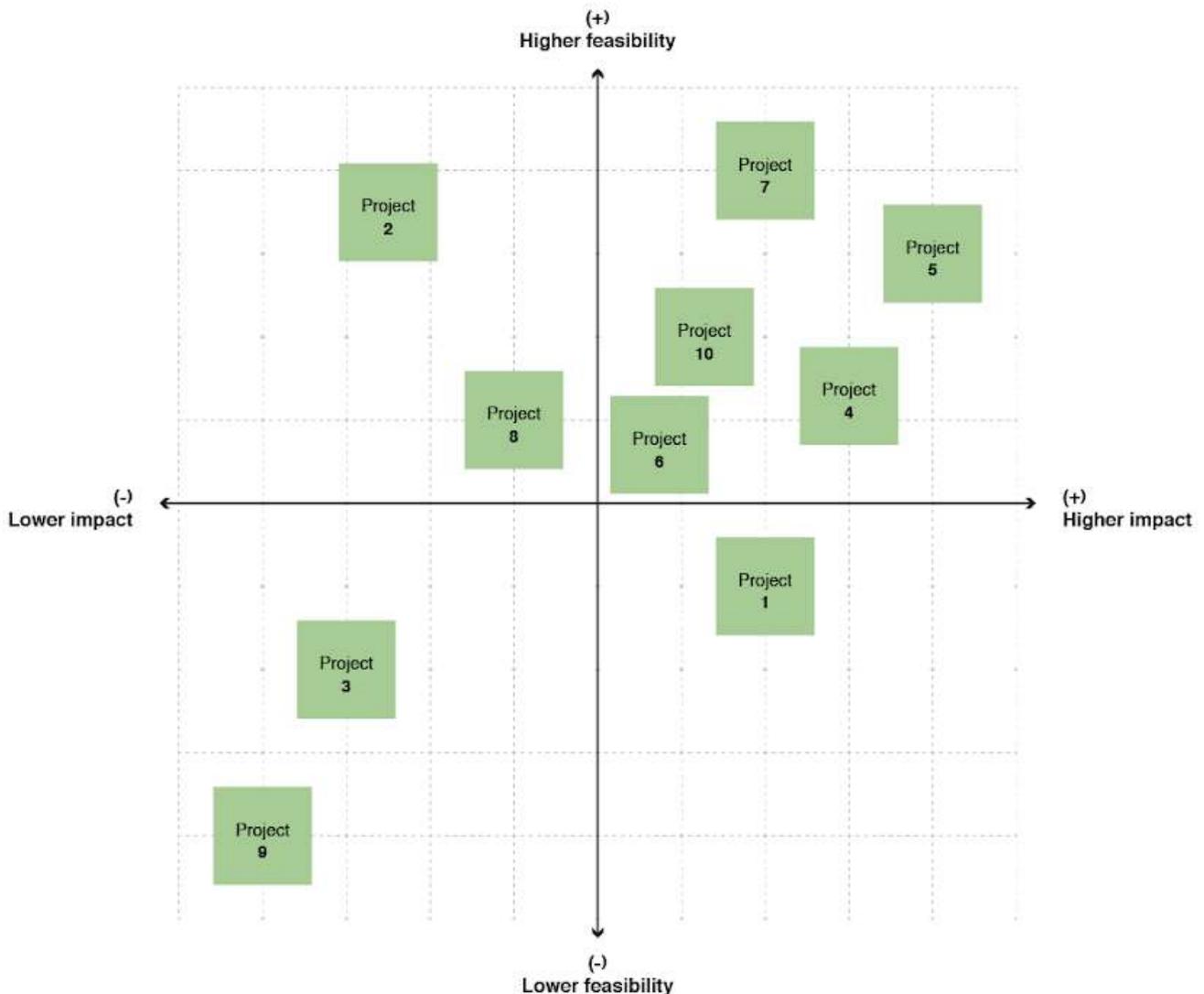
Tip: For this step, it is recommended to make a presentation, as well as to have printed handouts or panels with the information of each project. This will serve as support material during the rest of the workshop activities.

2. Divide the participants into groups, according to the total number of people in the workshop. The idea is to have a discussion where all the people participate actively, so it is recommended that the groups have no more than 6 people. The groups should be diverse in their members, and should have representatives from the different instances and groups.
3. Prepare a horizontal axis on a flip chart or a wall of the workshop space, where the left side is "lower priority" and the right side is "higher priority". Each group should have this material. On colored sticky notes, place the names of all the projects on the project list (1 per project).
4. In groups, place each of the projects listed in the prioritization axis. To do this, members should discuss each project in terms of its contribution, benefits and alignment with the plan's objectives and strategies. The exercise encourages the projects to be compared with each other to visually identify those that are the highest priority. A reference image is shown below:



T45 Participatory prioritisation guide

Tip: An alternative for this exercise is to create a 2x2 matrix, with a horizontal axis and a vertical axis. The horizontal axis can correspond to impact (left: lower impact; right: higher impact) and the vertical axis to feasibility (bottom: lower feasibility; top: higher feasibility). The groups have to place the projects using this matrix. Finally, the projects in the upper right quadrant (highest impact and highest feasibility) will be the prioritized projects.



5. Each group presents its results in plenary, explaining why each project has the location proposed in the prioritization axis. A discussion should be facilitated and, if possible, a consensus should be reached on the priority order of the list of projects.

The technical team should take notes for subsequent systematization and use these inputs in the final technical prioritization of the strategic projects. Ideally, during the discussion, one of the templates can be used as a basis for capturing the results agreed upon by all participants.

T45 Participatory prioritisation guide

Section 2. Identification of linked initiatives and co-responsibilities

Instructions:

- Based on the discussions and results of the previous exercise, participants map those initiatives, programs and/or projects that currently exist and are in some way linked to the projects on the list. These may come from the public sector, private sector, academia and/or civil society. For example, if a project deals with the reconfiguration of road geometries, safe intersections and redistribution of road space, and tactical urbanism interventions are currently being implemented in the municipality by some instance or agency, it should be taken into account to collaborate, create synergies and share learning and resources. This will also help to identify potential implementation partners.
- The workshop participants then discuss, propose and assign which agencies will be in charge of the implementation of each project. To this end, a main responsible instance should be established, and if applicable, other co-responsible instance(s) that will collaborate in the execution of the project.

Tip: For this and the previous exercise, the template used in Section 1 can be used as a basis. Using sticky notes of different colors, the linked initiatives, the responsible body and the co-responsible party(ies) can be added.) A second option is to generate a new matrix, where in the columns you have: 1. List of projects, 2. An example is shown below.

| Project List | Responsible body | Co-responsible body | Linked initiatives |
|-----------------------|--|--|--|
| example: Project 1 | Municipal Secretary of Social and Economic Development | State Secretariat for Economic Development | Municipal Local Economic Development Program |
| Project 2 | | | |
| Project 3 | | | |
| Project 4 | | | |
| Project ... | | | |

- Finally, the technical team systematizes all the information and shares it with the workshop participants and other key stakeholders for validation, as this information will be used for the technical prioritization of projects and the creation of the strategic project portfolio (prioritized projects).

T46 Project prioritization template

Description

This tool provides a rational criterion for prioritizing the Strategic Development Plan projects and identifying 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 include the projects included in the project list, which resulted from **Block E Strategic Development Plan**.
2. Review the proposed criteria and the numerical scale for each, included below. It is possible that, depending on the context, some may be removed, modified or added. The numerical values assigned are general, so it is recommended that you specify what each one corresponds to. Some examples are included below to illustrate this.
3. For each project in the list, make an evaluation for each criterion, assigning a score in the corresponding column. Use the following guiding questions to guide the discussion and definition of the score.
 - a. How does this project improve the quality of life of the city's inhabitants? What are the benefits that this project could bring to society, the economy and the environment?
 - b. What is the environmental footprint of the project, would it reduce carbon emissions, and would it improve the resilience of the city and the region?
 - c. What objectives of the plan are addressed? To what extent could each project meet the objectives? Does the project respond to the most urgent challenges identified in the diagnosis? Does the project respond to an urgent situation that requires quick responses?
 - d. Is the project accepted and required by the community and strategic stakeholders? What level of citizen involvement would the project have?
 - e. What is the cost of implementing the project and does it impact the municipality's existing budget? Are there mechanisms in place for its implementation?
 - f. Are there stakeholders willing to finance this project? Are there regional, national or international funds for this type of project?
 - g. How long would it take to implement the project and could it be completed within the current municipal term? If not, could it be completed by the next government?
 - h. Overall, is this project easy to achieve and with a high positive impact?
 - i. Is this project also considered a national or regional priority?



T46 Project prioritization template

| Criteria for the evaluation of the project list | | | |
|---|--|---|--|
| Linked goals | List the objectives to which the project responds. | Strategies / lines of action linked to | List the strategies and/or lines of action that the project addresses. |
| Economic, social and environmental benefits/impact *Consider the impact of the project in its different dimensions and/or how many benefits it brings. You can also make a matrix with a list of benefits and evaluate the extent to which each project addresses each of them. | Very high (5) High (4) Medium (3) Low (2) Very low (1) | Acceptance by stakeholders / participatory prioritization *Obtained from the Prioritization Workshop | Very high (5) High (4) Average (3) Low (2) Very low (1) |
| Financial viability *Consider the information and results of project preparation. | Very low (5) Low (4) Medium (3) High (2) Very high (1) | Institutional costs *Consider the need (or not) for administrative/management, legal/regulatory, intergovernmental/inter-agency coordination, etc. changes. | Very low (5) Low (4) Medium (3) High (2) Very high (1) |
| Implementation times | Short term (5) Medium term (3) Long term (1) | Technical feasibility *Consider the information and results of project preparation. | Very high (5) High (4) Average (3) Low (2) Very low (1) |

Some additional criteria that may be considered:

- Priority area
- Urgency (1 = not urgent; 2 = urgent; 3 = very urgent)
- Integration potential (1 = low; 2 = medium; 3 = high)

T46 Project prioritization template

Examples of numerical scale assigned to prioritization criteria:

San Nicolas de los Garza

In this case, a different methodology was used where costs were subtracted from benefits, so that a high financial and institutional cost had a higher value. Thus, a project with many benefits but high costs is equated with one with few benefits but low costs.

Time, money and institutional costs

Assessment of the constraints of each project in accordance with the above-mentioned ranges.

Execution period:

- short: less than one year (1)
- medium: one to three years (3)
- long: more than three years (5)

Financial cost of realization:

- less than 1 million pesos (1)
- more than 1 million pesos, less than 10 million pesos (2)
- greater than 10 million pesos, less than 50 million pesos (3)
- greater than 50 million pesos, less than 100 million pesos (4)
- exceeding 100 million pesos (5)

Institutional cost:

- No administrative changes required (1)
- Changes to bylaws or municipal regulations are required (2)
- The creation of administrative institutions or bodies is required (3)
- Management by other entities or institutions is required (4)
- Metropolitan coordination is required (5)

Methodological Guide for the Operationalization of Urban Projects, Cuba

| Questions | Possible answers | Value |
|---|---|-------|
| A Where did the idea come from? | • National Government | 1 |
| | • Provincial Government | 3 |
| | • City/Municipality | 4 |
| | • Community | 5 |
| B Will municipal leaders support the project? | • Hardly | 1 |
| | • Normal | 3 |
| | • Easily | 4 |
| | • Already approved | 5 |
| C Will the project be approved in other countries? governmental bodies? | • Hardly | 1 |
| | • Normal | 3 |
| | • Easily | 4 |
| | • Already approved | 5 |
| D Is there support from groups representatives of the citizenry? | • Some scattered | 1 |
| | • Minority of support | 3 |
| | • Majority of support | 4 |
| | • Overwhelming majority of support | 5 |
| E Is there support from the residents in the adjacent area? | • Some scattered | 1 |
| | • Minority of support | 3 |
| | • Majority of support | 4 |
| | • Overwhelming majority of support | 5 |
| F Has there been any consultation public for this project? | • No. It is still at the conceptual stage | 1 |
| | • The public has been informed by means of a outreach campaign | 3 |
| | • The project has been submitted to the community representatives for consultation and comments | 4 |
| | • Community organisations have been actively involved in the formulation | 5 |
| G Does it include or involve the relocation of communities, homes and/or businesses? | • Yes, on a large scale (more than 50 dwellings have to be relocated) | 1 |
| | • Yes, on a smaller scale (between 10 and 50 dwellings) to be relocated) | 3 |
| | • Relocation affects less than 10 housing | 4 |
| | • No relocation | 5 |

T46 Project prioritization template

Template for prioritization of the project list

Add rows as necessary according to the project listing and edit the columns accordingly. The benefits/impact column could be separated to evaluate the different types of benefits. Some examples of projects are included below in red color.

| Projects | Linked Objectives | Linked strategies / lines of action | Economic, social and environmental benefits/impacts | Accepted by stakeholders | Financial viability | Institutional costs | Implementation times | Technical feasibility | Scoring | RELATIVE RANKING |
|---|---|--|---|--------------------------|---------------------|---------------------|----------------------|-----------------------|---------|------------------|
| 1 Neighborhood Center (Nichupté Bridge) | Objective 3: Proximity and Connected City Objective 5: Healthy and Friendly City | Take advantage of the available land to create public facilities and public spaces that facilitate the connection of the urban fabric and bring the Nichupté Lagoon and mangrove areas closer, respecting their natural condition and enhancing their value. | 4 | 4 | 4 | 4 | 4 | 4 | 24 | 1 |
| 2 Reforestation of urban space | Objective 1: Green and resilient city | Encourage initiatives to mitigate environmental impacts and enhance the ecosystem services of green areas and areas of environmental value | 1 | 2 | 2 | 3 | 2 | 4 | 14 | 2 |
| 3 New flood protection infrastructure | Objective 1: Green and resilient city | Strengthen people's resilience, infrastructure and economic activity to disasters caused by climatic phenomena. | 2 | 3 | 1 | 2 | 2 | 2 | 12 | 3 |

T46 Project prioritization template

Urban resilience

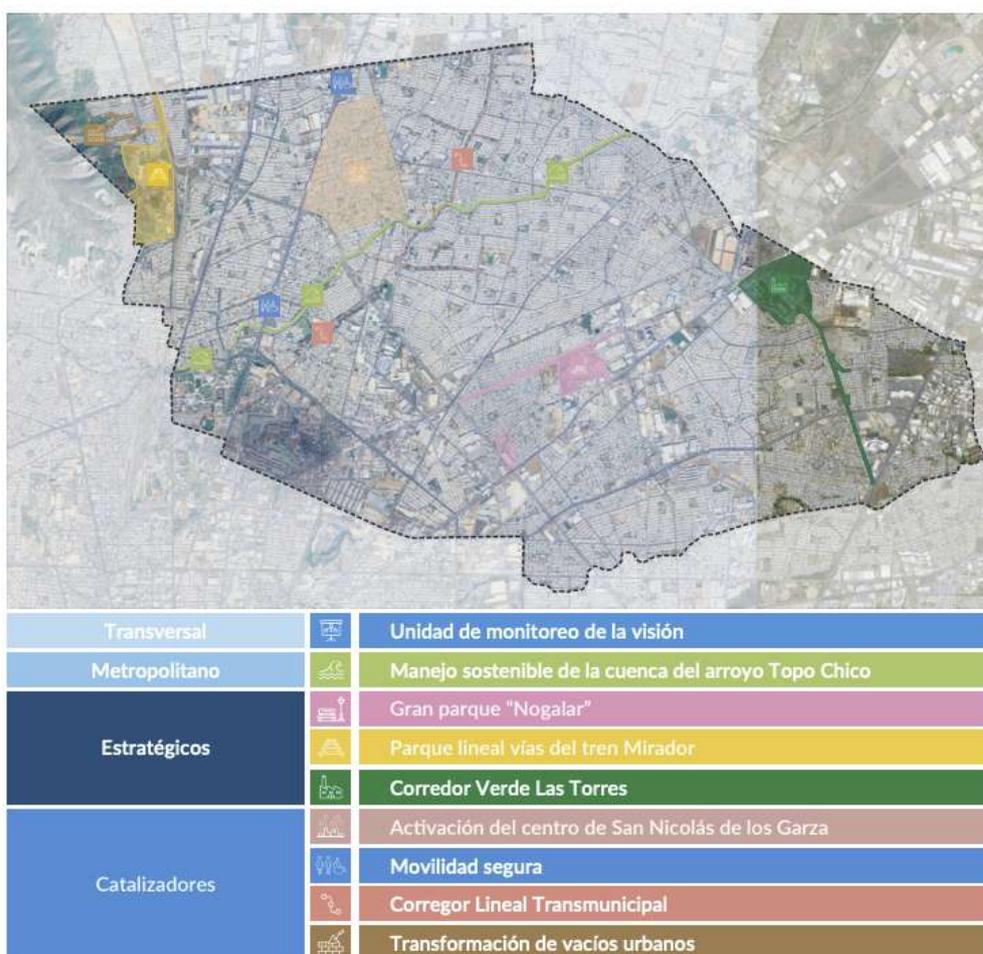
For disaster risk response and climate adaptation issues, the first column of the prioritization template (entitled "Projects") can be modified and used to assess and prioritize the strategic lines of action for city resilience developed in the **Strategy for Disaster Risk Management and Climate Resilience (Activity 21)**. At a later stage, these actions should be reviewed in their entirety to ensure that there are no environmental and social risks, especially those that may affect vulnerable people.

References:

[Vulnerability and risk to climate change](#) (5.3. Prioritization of actions)

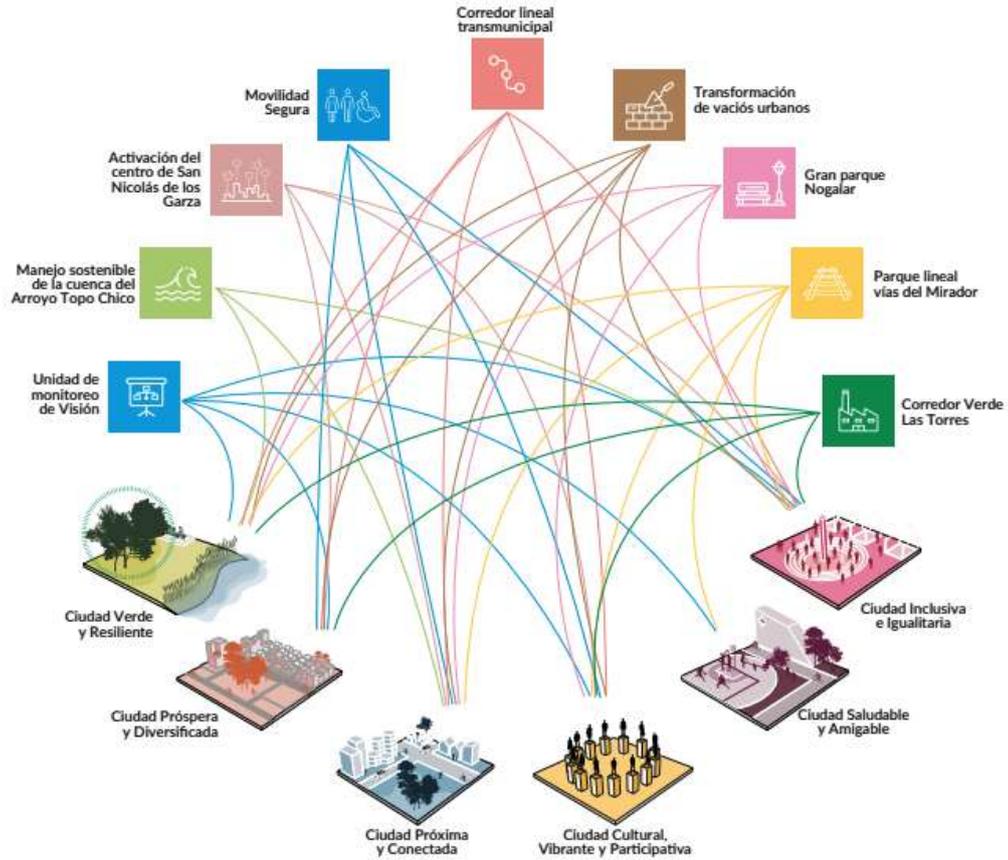
4. Add the total score of each project and assign a relative ranking. Based on this, select and list the priority strategic projects that make up the strategic project portfolio.

Example of project portfolio location map for San Nicolas de los Garza, Mexico, by category:



Portfolio of

T46 Project prioritization template



T47 Template of strategic project sheets

Description

This tool details the categories of information recommended for the technical sheet of strategic projects and includes a basic template.

Participants

This task is carried out by the technical team.

The recommended fields of information to be included in the project data sheets are described below, followed by the project data sheet template. Use the template to edit it according to the requirements of each project. Some examples are included at the end of the tool.

| Components of the strategic projects fact sheet | |
|---|--|
| Field | Description |
| Project name | Project title |
| Category | Category assigned, if any. It can be assigned according to the typology of the project. |
| Alignment with goals and strategies | Indicate to which goals and/or strategies of the strategic development plan the project is linked. Ideally, the strategic projects in the portfolio should respond to more than one objective. |
| Location | Project location plan and interventions |
| Theory of change and Specific objectives | <p>The objectives in terms of technical, social, environmental and climate change, etc. sought by the project are detailed and should be linked to the challenges to be solved. The objectives can be defined in the short and long term. They should be clear and measurable as they will be used to evaluate the project.</p> <ul style="list-style-type: none"> • Technical objectives: linked to the technical solution. For example, what total area of public space will be regenerated? How many kilometers of transport system coverage will be implemented? How many housing units will be increased? • Social objectives: linked to social challenges and needs. For example, how much population will be benefited, how does the population/community benefit, how many jobs are created, how many businesses are trained? • Environmental and climate change objectives: For example, how many trees and endemic species are reforested? How many tons of CO2 emissions are reduced? How many square meters of green area per inhabitant are increased? How is exposure to disaster risk reduced? |
| Activities, Outcomes and Outputs | <ul style="list-style-type: none"> • Activities: Actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources are mobilized to produce specific outputs. • Outputs: The product, capital goods and services which result from a development intervention relevant to the achievement of outcomes. • Outcomes: The change in conditions, or intended effects of an intervention, usually brought about by the collective efforts of partners. Outcomes are achieved in the short to medium term. |
| Beneficiaries | Population that will directly and indirectly benefit from the project. |

T47 Template of strategic project sheets

| | |
|---|--|
| Project description / strategy | At this point, the project must be more focused and the technical solution and project strategy for its implementation must be clear. To define it, it is necessary to evaluate the different options available and choose the one that best applies to the context, challenge, costs, etc. A section on the current status of the project or the area of intervention can also be included here. |
| Project components | The components that the project addresses are described in greater detail, which should subsequently include a work plan and concrete activities. |
| Milestones, Targets and Indicators | Milestones help with regular monitoring of progress towards the target. Targets indicate the desired result at the end of the project. Indicators: What is going to be measured to assess if targets are met? |
| Conceptual design / target image | If possible and applicable, include a conceptual design and/or objective image of the project or physical intervention, indicating its intentions and main characteristics. This will inform the development of the technical file (architectural design, engineering, etc.). |
| Responsible body and co-responsible parties | This information was determined at the Participatory Project Prioritization Workshop. This section may also include more specific responsibilities, such as design, implementation and maintenance. |
| Linkage with existing initiatives | This information was determined at the Participatory Project Prioritization Workshop. |
| Costs and financing | Costs necessary for the implementation of the project. The total cost should include the investment cost (execution or construction of the project) and the operating cost (post-construction). The former should include all necessary items, such as land, materials, machinery, management, paperwork, licenses, human resources, etc. With the cost evaluation, the financing of the project should be evaluated, for example, if there is interest from the private sector, if there is the possibility of applying to an international fund, etc. It is recommended to review the Financial Instruments activity in Block I. |
| Cost Benefit Analysis | This is done to assess whether the project is indeed feasible and can be implemented. It compares the costs and benefits or returns on investment, which should exceed the costs, taking into account the time horizon of both components. Normally, the benefits occur over a longer period of time than the project investment. |
| Additional requirements | Identify the requirements or actions needed to implement the project. These may be linked to more specific technical requirements (e.g., environmental impact studies), to management mechanisms (forming a committee, establishing an agreement, etc.), or to legal and regulatory requirements such as the change or approval of a law or the development of a rule or regulation, etc.). These will be identified more precisely in Block I of Instruments, so it is advisable to review them in parallel. |

T47 Template of strategic project sheets

Basic template of project sheet:

| Project title: | | Category | Location: |
|---|--|--|------------------------|
| Alignment with objectives and strategies: | | | |
| Specific objectives: | | | |
| Description of the project / strategy: | | Conceptual design / target image: | Areas of intervention: |
| | | | Costs and financing: |
| Project components: | | Responsible body and co-responsible parties: | Cost-benefit analysis: |
| | | Linkage with existing initiatives: | |
| Additional requirements: | | Beneficiaries: | |

T47 Template of strategic project sheets

Example of project fiche of the Master Plan for the Nichupté Bridge, Cancun, Mexico

01

Neighborhood center

Line of action 3.3.1.

Take advantage of the available land to create public facilities and public spaces that facilitate the connection of the urban fabric and bring the Laguna Nichupté and mangrove areas, respecting their natural condition and enhancing their value.

Description

This project consists of the integration of the Glorieta Antigua Torre de Control into the space designated as a green area to the north. Through the incorporation of proximity facilities (free first floor), the humanization of the public space and local commerce, it seeks to create incentives to attract the population and to encourage activities to remain in the vicinity.

The project is defined based on the vocation of the existing space and enhances the area with consolidated vegetation.

| AREA | MILLIONS |
|-----------------------------------|-----------------------------|
| Equipment | \$73 M |
| Park | \$92 M |
| Plaza | \$20 M |
| Glorieta Antigua Torre de Control | \$51 M |
| Total area | 45 500 m² |

APPROXIMATE COST

\$236 000 000

*See Annex 5 for further reference.



SYMBOLOLOGY

- Area of Influence Nichupté Bridge
- Extended action polygon Nichupté Bridge
- Parque de la Equidad
- Location of the project



T47 Template of strategic project sheets

Example of a project sheet for San Nicolas de los Garza, Mexico

| | | | |
|--|--|---|--|
| | <h2>Great Walnut Grove Park</h2> <p>Strategic Project</p> | | |
| SNG Vision 2030 Alignment | <p>Goal 1 1.1.3 1.1.4 1.2.3</p> <p>Goal 2 2.1.7 2.2.4</p> <p>Goal 3 3.2.1</p> | <p>Goal 4 4.2.2 4.3.3 4.4.2</p> <p>Goal 5 5.1.1 5.1.2 5.1.3 5.1.4</p> <p>Goal 6 6.1.2</p> | |
| Strategy | <p>The Nogalar sector is one of the most underdeveloped in the municipality in terms of urban and social issues. Taking advantage of the availability of land and making use of the space adjacent to the railroad tracks, this project seeks to consolidate and complement the Unidad Deportiva Oriente through a comprehensive urban intervention that can become a new urban sub-center.</p> <p>The project contemplates a comprehensive strategy for urban regeneration of the sector detected with two delimiting projects: the Gran Parque Deportiva Oriente and the Parque Recreativo Bosques Floridos: the former proposes to allocate an area of 40 hectares for the construction of equipment and public space, integrating green areas, sports areas, spaces for culture and continuing education. It will also incorporate micro-mobility networks and paths that will facilitate integration with neighboring neighborhoods and future housing developments, as well as the recovery of the irrigation ditch that crosses a large part of the land.</p> <p>The project is in addition to the actions undertaken by the municipality for the construction of municipal police and National Guard headquarters. This project will also complement the municipality's efforts to cover the existing equipment deficit in the sector through the construction of the Parque Recreativo de la Colonia Floridos Bosques del Nogalar, thus contributing to consolidate a network of spaces for recreation, culture and sports within this priority area.</p> | | |
| Linkage with existing initiatives | <p>East Sports Unit Constituyentes Security Building San Nicolas Animal Welfare House</p> | | |
| Competent Actor | <p>Secretariat of Urban Development Secretariat of Human Development Secretariat of Public Works Secretariat of Public Works Neighborhood Organizations</p> | | |
| Beneficiaries | <p>Direct: An estimated 29,252 people live within a 400 m area of influence of the proposed interventions, particularly from the Nogalar, Constituyentes, Balcones de Santo Domingo</p> | | |

| Section | Initial investment with VAT | Proposed source of financing | Comment |
|--|-----------------------------|--|---|
| A Sports equipment | \$237,018,819 | Municipal resources. Possible start year: 2023 | It is anticipated that a change in property tax rates to progressive is not feasible to implement for the 2022 Revenue Law, so this stage of the project may be postponed to 2023. The amount will need to be updated with expected inflation to 2023. |
| B Corridor adjacent to the railroad tracks | \$431,434,881 | State and/or federal resources. The state or federal government (through SEDATU) could consider this part of the project as their own work. Possible start year: 2022. | Application should be made to the state or federal government. |
| C Consolidation of cultural facilities | \$131,530,923 | Municipal resources. Possible start year: 2022. | It is anticipated that a change from property tax rates to progressive rates is not feasible to implement for the 2022 Revenue Law. The project will be carried out with the municipality's own resources, complemented by an improvement in tax collection through the updating of the cadastral values in the municipality. |
| D Recovery of irrigation ditches | \$129,222,271 | Option 1. Financing with credit or development banks. Option 2. Public-Private Partnership | Option 1. This amount is the lowest of the four options and could be financed via credit without considerably reducing the municipality's credit capacity. Option 2. Although the project is not considered to generate income for private interest, the amount could be donated by Nuevo Leon businesses. |
| Total initial investment and operating maintenance costs 2023-2030 at present value | \$929,206,893 | | |
| Total cost of the project 2022-2030 at present value | \$1,028,351,897 | Municipality's own resources | The municipality's collection capacity must be improved, even if property tax rates remain unchanged. |
| Bosques Floridos Recreational Park | | | |
| Section | Initial investment with VAT | Proposed source of financing | Comment |
| E Green areas with bike, walkways and playgrounds | \$28,381,273 | Municipal own resources | The project can be financed with its own revenues. It is recommended to improve the collector, especially property tax collection. |
| F Multipurpose room | \$24,015,540 | Municipal own resources | |
| G Sports equipment | \$6,490,711 | Municipal own resources | |
| H Administration building | \$8,501,501 | Municipal own resources | |
| Total initial investment and operating maintenance costs 2022-2030 at present value | \$67,389,157 | Municipal own resources | The project can be financed with its own revenues. It is recommended to improve the collector, especially property tax collection. |
| Total cost of the project 2022-2030 at present value | \$74,579,480 | | |

T48 Land Tenure Typologies Guide

Description

This tool will help the team to classify the land tenure for the properties that are within the delimitation of the priority zones, as well as the zones where the land management plan projects will be implemented. Use the typologies in Table below as a catalog.

Participants

This task is carried out by the technical team.

TABLE A. LAND TENURE TYPOLOGIES

| Tenure System | Typology | Description |
|-----------------------------------|--|---|
| Formal | Public Property | Municipal Properties destined for public use or service; among them, it is worth mentioning roads, streets, squares, promenades, waters, public works of general service, markets, commodities exchanges, etc. |
| | | State State ownership or control of any asset, industry, or enterprise at any level, national, regional, or local |
| | | Cooperative Properties that were granted by the state to carry out agricultural or livestock activities. |
| | Private Property | Ownership in perpetuity |
| | Conditional Property | Title is granted upon payment or when developments have been completed. |
| | Registered lease | Ownership for a specified period, from a few months to 999 years. |
| | Public rental | Rental occupancy of state-owned land or house |
| | Private rental | Rental occupancy of privately owned land or house |
| | Shared equity | Combination of conditional ownership and rent in which residents acquire a share in their property (often 50%) and pay rent for the remainder to the other party. |
| | Cooperative holding | Ownership is vested in the cooperative or group of which the residents are co-owners. |
| | Customary ownership | Ownership is vested in the tribe, group, community or family. Land is allocated by customary authorities such as chiefs. |
| | Intermediate or temporary holding systems | There are many pragmatic provisions, such as land certification, "comfort certificates", temporary occupancy licenses, etc. |
| Co-ownership / Condominium regime | Co-ownership, also known as condominium or community, refers to the form of ownership in which there is a single ownership, but this is divided into quotas among several owners. The practical effect is that two or more persons share the ownership of a thing. The co-ownership can come from the will of the co-owners, as for example the things that are contributed to a society or that are acquired in common. | |
| Informal | Irregular occupation or development of public land | Housing and settlements built on land belonging to the municipal, state or federal government, without having been previously removed from the public domain or without |

T48 Land Tenure Typologies Guide

| | | |
|---------------------|--|---|
| | | ownership having been legally transferred. The occupants do not have legal documentation to support their tenure. |
| | Commercialization and irregular occupation of social land (ejido and communal land) | Simple subdivision of land into lots. Nonexistent or insufficient urban services or infrastructure. Land use plans and other urban regulations are not respected. Sometimes built on risk areas. |
| | Irregular occupation or urbanization on private land | Legal or administrative procedures for land commercialization, construction and urbanization are not properly complied with. |
| Unidentified | Land Plots with Unknown Owners | Some countries and cities do not have a proper land cadastre or do not have capacity to develop a cadastre map. In this case, some plots can be classified as unknown, or unreachable if known, as in the case of land acquisition. |

Note: Keep the following considerations in mind when defining the legal status of the land:

- It is recommended to look for innovative international references that allow the implementation of the prioritized projects in non-regularized properties.
- In all cases, it is recommended to identify the agencies in charge of land regularization at the local level, as well as successful cases of implementation of urban projects on land in a similar situation, according to their territorial scale.

Instructions

Discuss the following questions regarding the state of land tenure in the territory(ies) of interest and what this means for achieving the priority actions, strategies and projects proposed:

- Do you consider that there are enough municipally-owned properties to cover the deficit of urban facilities and/or public space?
- What are the prioritized projects and what is their scale of intervention? Is there land available to carry out these projects?
- Is it possible to know with certainty the legal status of the properties to be intervened?
- Does the plan contemplate intervening on land under special land tenure regimes (e.g., environmental conservation areas, historic or heritage centers)?
- Are the intervention polygons private property? What type of properties are contemplated within the intervention zones?
- Which institution(s) is/are responsible for approving, applying, updating and regulating the legal status of the land to be intervened for each of the prioritized projects?
- Are there precedents of any intervention on non-municipal property? How feasible is it to regularize a property according to the priority of the project/intervention?
- Are there national/regional/metropolitan urban development plans that provide guidelines for this type of intervention? What is recommended for the local context?

T49 Land Management Instruments Guide

Description

This tool will define the land management instruments that will allow the mobilization and valorization of land, as a result of public investment and regulations that will increase the possibility of having better urban financing.

Participants

This task is carried out by the technical team and the person or group of people who have knowledge and experience in the municipality's finances.

Instructions

Use Table A as a catalog, and place the instruments most compatible with the project portfolio in Table B, then do the same exercise with the lines of action, using Table C. Use as support the success stories on the application of land management instruments in the region.

Keep the following considerations in mind when defining land management instruments:

- It is recommended that innovative international references be sought to complement the instruments previously used in the country, always evaluating their feasibility at the local level.
- In all cases, it is recommended to identify the entity in charge of implementing the instrument, according to their territorial scale and the institutional framework.
- Table B can be used to identify management tools for areas of development interest.

T49 Land Management Instruments Guide

Table A. Land management instruments

| Instruments | Description |
|--|--|
| Regulations for land coming from the agricultural regime | Process for the incorporation of ejido land into urban development. |
| Territorial regulation | Allocation of land tenure for occupants of spontaneous urban developments |
| Territorial reserves / Pre-emptive rights | Conformation of land bank for urban growth. |
| Priority Development and Construction Zone | <p>The State and the municipalities may declare polygons for the development or priority or strategic use of real estate, under the scheme of public or private action systems, in accordance with the objectives set forth in such instruments. The acts of urban use must be carried out, both by the authorities and by the owners and possessors of the land, in accordance with such declarations and always adjusting to the determinations of the applicable Urban Development and Metropolitan Zones programs.</p> <p>For this purpose, the State will delimit priority development and construction polygons for the execution of actions, works, projects and investments in the following areas:</p> <ul style="list-style-type: none"> - Areas with undeveloped land - Housing areas with potential for improvement - Feasible areas for urban regeneration |
| Parcel regrouping | It allows the execution of growth, improvement or conservation actions in a determined area of a population center, through the grouping and redefinition of properties and public spaces, by means of the association and common management of their owners and municipal authorities. |
| Payment of Building or Development Potential | In accordance with the parameters established in the population land management plan and prior authorization and payment of the building or development potential in favor of the municipality in the applicable properties, densification of buildings may be permitted, as long as the capacity of water, drainage and electricity services or urban equipment and mobility is not exceeded and ensured. |
| Inclusionary Zoning | It administers and regulates the basic coefficient of land use and occupation, based on urban capacity. The owners will have to contribute the compensation for the land use potential of the areas to be expanded to the municipality. Zones may be established where the owners or developers may administer the land use and occupancy coefficients, in exchange for land for the lower income population for the benefits of such increase, preferably in the area of the development. |
| Transfer of development rights | Rights arising from the development potential of a property with respect to those arising for residential, tourism, commercial or industrial uses. They are transferable for increased development (higher density) in other zones, ideally in accordance with a master plan, strategic development plan, land management plan, sector plan and/or neighborhood plan. |
| Performance Systems | Instrument that seeks to carry out specific infrastructure, equipment and public space projects and works that generate direct benefits to people and the urban environment of specific areas. |

T49 Land Management Instruments Guide

Below are some case studies on the use of some land management instruments.

Case 1: Grenade Cooperative Actuation Systems (GAS)

Location: Mexico City

Year: 2015

In April 2015, the Agreement by which the Sistema de Actuación por Cooperación Granadas (SAC Granadas) was established in the Mayor's Office of Miguel Hidalgo was published in the Official Gazette of the Federal District. The polygon of the SAC was predominantly industrial and totally or partially covers 12 neighborhoods of the Miguel Hidalgo District, covering an area of 363 hectares. The transformation of the Granadas area was a process that began long before the SAC. With the exit of the industries, a land supply was generated that was taken advantage of by real estate developers. The Granadas Particular Ordinance (NPO), prior to the SAC, triggered an accelerated development of offices in the sector. Currently, the area benefits from large investments in infrastructure, and offers housing in a central area of the city, public spaces, cultural facilities, and commerce, among other attractions.

Case 2: Parque La Mexicana Cooperative Action Systems (SAC)

Location: Mexico City

Year: 2016

It was established between the Government of Mexico City, through the Ministry of Urban Development and Housing and the Santa Fe Neighborhood Association, whose main objective is the creation of this unique space in its design and services, including an artificial lake, a skatepark, amphitheater, bike path, jogging path, children's areas and areas for pets, which are determined thanks to the monitoring tables and the interaction with neighbors, citizens and citizens that allow consolidating the actions of the Park. It has a subway storm tank that will capture rainwater and store it for irrigation during the hot season. Above this tank there is an artificial lake that has been adapted to the geography of the land, which consists of two bodies, and in one of them there is an islet as a stage for cultural activities and whose investment amounts to about 2 billion pesos.

Case 3: La Candelaria, Medellín PILaR

Location: Medellín

Year: 2015

Participatory and Inclusive Land Readjustment (PILaR) is a mechanism through which land units that have different owners and claimants are combined into a single area through a participatory and inclusive process for unified planning, re-parcelling and development. The development includes serviced urban land delivery made possible by the provision of infrastructure, public space and other urban amenities at a reasonable standard. PILaR relies on negotiated processes that allow local authorities, citizens and groups to articulate their interests, exercise their formally and socially legitimate rights, meet their obligations, and mediate their differences.

In the context of PILaR, participation engages not only landowners, but also other stakeholders like renters, informal occupiers, etc. who need to be sufficiently consulted and involved in the decision-making process. Their views and interests are taken into account while winning their trust, support, acceptance and ownership of the process. This process then leads to outcomes that are inclusive. This means that a PILaR intervention would create neighbourhoods that bring together different income and social groups as opposed to segregated neighbourhoods and gated communities. It also means all stakeholders in a project share both the costs and benefits of the project in a fair and equitable manner.

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A key benefit of PILaR is that it puts stakeholders at the heart of planned city extensions and redevelopment endeavours throughout the project cycle. The emphasis is on meaningful participation by all actors, including the effective engagement of poor and marginalized people. PILaR also embraces academics, financial institutions as well as public and private sector developers who agree to operate under an appropriate governance, legislative and regulatory framework which should create a win-win situation for most, if not all, parties involved.

La Candelaria is where the global pilot of the Participatory and Inclusive Land Readjustment (PILaR) is taking place. The pilot is a joint initiative of Medellín's Institute of Housing and Habitat (ISVIMED), Medellín's Department of Planning and the United Nations Human Settlements Programme (UN-Habitat), whose officials accompanied the visit.

Instructions

1. *Discuss and answer the following questions, as a guide for selecting instruments.*

- What are the prioritized projects and what is their scale of intervention? What is the objective of each one?
- Which institution(s) is/are responsible for approving, implementing, updating and regulating each of the prioritized projects?
- Are there precedents of any land management instrument that has been previously used at local / municipal / regional level? How successful was it?
- Are there national/regional/metropolitan urban development plans that recommend land management instruments? Are they legally binding? What is recommended for the local context?

H49 Guide to Land Management Instruments

2. Place in the following table the instruments that the team considers appropriate for effective land management for each strategic project in the portfolio. You can use this same table to propose land management instruments for other scales of application outlined in Block F Land Management Plan. An example is shown below in red.

| Table B. Proposed Land Management Instruments for the Strategic Project Portfolio | | |
|---|---|--|
| Strategic portfolio project | Description | Land management instruments compatible |
| Neighborhood Center (Nichupté Bridge) | This project consists of the integration of the Glorieta Antigua Torre de Control into the space designated as a green area to the north. Through the incorporation of proximity facilities (free first floor), the humanization of the public space and local commerce, it seeks to create incentives to attract the population and encourage activities of permanence in the vicinity. The project is defined based on the vocation of the existing space and enhances the area with consolidated vegetation. | Performance Systems Payment of Building or Development Potential Inclusionary Zoning |
| | | |
| | | |
| | | |

H49 Guide to Land Management Instruments

3. Place in the following table the instruments that the team considers appropriate for effective soil management for each action line, if applicable. Modify the table as appropriate.

| Table C. Proposed land management instruments for lines of action | | |
|---|--|---|
| Strategy | Line of action | Land management instruments compatible |
| 1 | 1.1 Urban intervention in the Glorieta Antigua Torre de Control. | Payment of Building or Development Potential Inclusionary Zoning |
| | | |
| | | |
| | | |

T50 Financial Instruments Guide

Description

This tool aims to provide a catalogue of potential financial mechanisms to review before the plan development, and assess and evaluate what are the best options according to the local context.

Participants

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

Instructions

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

Keep the following considerations in mind when defining financial mechanisms:

- Recurrent revenues might be useful in case of long term planning, when expenses are distributed along a longer period of time.
- A combination of one time charges and recurrent revenues might be helpful in case there is a higher chance of unexpected additional costs.
- One-time charges could be more practical in situations in which it is necessary to reach the full budget in a short period of time.
- External sources of revenue such as loans and credits are more appropriate for longer term and high cost projects.

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

Financial Mechanism Identification

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

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

Other:.....

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Use the following guiding questions to identify the most suitable financial mechanism(s):

Regulatory and legal frameworks:

- *Considering the current fiscal systems and legal frameworks, what instruments can be implemented according to the law?*
- *What financial mechanisms are already in place and working in the Municipality?*
- *What reforms would have to be carried out in order to implement specific financial mechanisms? How feasible is it to carry out such reforms?*
- *How do these mechanisms align with current policy directions at local, state, and national levels?*
- *How long would it realistically take to pass the necessary legislation or policies to implement the selected financial mechanisms?*
- *How might upcoming elections affect the implementation of these financial mechanisms?*
- *How transparent are these mechanisms? Is there room for corruption or misuse of funds?*

Administrative capacities and local context:

- *How are taxes currently collected and managed?*
- *Are there adequate human resources to manage these new financial mechanisms?*
- *What are the existing institutional arrangements between local and central government?*
- *What are the land market conditions in the areas where the plan will be implemented?*
- *What level of digital infrastructure is in place for implementing new financial mechanisms (e.g., tax collection systems, financial reporting, etc.)?*
- *Can the existing technology adapt to increased demands if the financial mechanism is successful?*
- *How informed is the community about the benefits and drawbacks of new financial mechanisms?*
- *What platforms or methods are available for community engagement and feedback?*
- *Is there broad political support for the proposed financial mechanisms among elected officials, administrative departments, and the public?*
- *How would the general populace likely react to these new financial mechanisms? Are they popular or controversial?*
- *How would the proposed financial mechanisms affect different social and economic groups within the municipality?*
- *Could any of the mechanisms lead to gentrification or displacement of existing communities?*

Budget/available funds and implementation times:

- *What is the estimated duration of the implementation of the plan? Will there be long term costs to cover?*
- *Are there existing funds destined to cover part of the plan and project costs?*
- *Would it be necessary to find a financial mechanism to cover future maintenance costs?*
- *Could the plan foresee profitable activities?*
- *Which financial mechanisms are most suitable for pilot testing or phased implementation?*
- *What key performance indicators would determine the success of a pilot?*
- *Are there any state or federal programs that offer matching funds for your chosen financial mechanisms? What are the prerequisites and timelines for applying for such matching funds?*

Access to credit:

- *What is the credit capacity of the municipality?*
- *What are the regulations and requirements to access local and international credit?*
- *What is the current credit rating of the municipality? How does this rating impact the kinds of loans or bonds the municipality can issue?*

T50 Financial Instruments Guide

- *What is the current debt-to-revenue ratio for the municipality? What are the safe boundaries for this ratio according to local, regional, or national laws?*
- *What are the prevailing interest rates for municipal loans, and how could these rates affect the cost of financing over the short and long term?*
- *What are the typical repayment periods available for the kinds of credit the municipality is considering?*
- *If considering international loans, what are the foreign exchange risks, and are there any country-specific restrictions or requirements?*
- *If considering issuing bonds, what is the likely appetite for these in the market? Are there any recent examples of similar municipalities successfully issuing bonds?*
- *What assets does the municipality own that could be used as collateral for loans?*

Projects and thematic areas:

- *What are the types of projects and actions that could result from the planning process? Are there specific thematic areas that the plan is focusing on, for which specific financial mechanisms could be used?*
- *Are there projects in specific thematic areas that are aligned to existing national and international funds (climate change, housing, transport, etc.)? What are the requirements to apply for these funds?*
- *How easily can the project scale up if the initial phase is successful?*
- *What are the resource and infrastructural limitations to scaling up the project?*
- *How do these projects align with existing municipal development goals?*
- *Are these projects in line with state or national strategic objectives?*

Revenue opportunities:

- Which interventions foreseen by your plan might generate revenues?
- Will any of the interventions (e.g., a new commercial zone, a tourism initiative, etc.) contribute to an increased tax base, be it property, sales, or income tax?
- Are there services (like toll roads, paid parking, etc.) that could bring in revenue through user fees?
- Does the plan involve the sale or lease of public land or other assets?
- Can revenue be generated through public-private partnerships, for instance, through concession stands or naming rights?
- Will any of the interventions attract tourists and thus bring in associated revenues, such as hotel taxes or tourist attraction fees?
- Are there projects (e.g., renewable energy installations, carbon capture initiatives) that could earn environmental credits which can be sold?
- Are there specific sectors or activities that are likely to attract external grants or subsidies?

Short-term and long-term benefits and drawbacks:

- What immediate financial benefits can this mechanism offer the municipality? How will these benefits affect current projects and plans?
- What challenges might arise in the initial stages of applying this financial mechanism?
- How might citizens, businesses, and other local stakeholders react in the short term to this mechanism?
- Will this mechanism require significant administrative or infrastructural changes to implement immediately?
- How sustainable is this financial mechanism over a 10, 20, or 30-year period?
- How will this mechanism affect the local economy in the long run?
- As the municipality's needs change, how adaptable is this mechanism?
- How might this mechanism shape the city's long-term reputation or creditworthiness?

T50 Financial Instruments Guide

| MUNICIPAL REVENUES (OWN) → PROPERTY TAXES | | |
|---|---|-------------|
| Description | Considerations | Periodicity |
| Expenses Budget | | |
| Municipal | Resources from the operating budget of the agencies involved | |
| Central Government | Transfers from the state budget through applicable funds or programs. Tax paid on a recurring basis, most commonly annual → ongoing revenue stream for the city. | |
| | Taxes associated with the benefit obtained by the property from specific infrastructure improvements. This is the tax contribution of the land or property owner that is benefited by an increase in the value of the land resulting from the construction of a public work, thus being a mechanism that allows the creation of an exchange of interests by the parties involved. | |
| | Developers fee paid for the approval of additional developments or the release of building permits. | |

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| | | |
|---|---|---|
| | <p>Also known as extractions or impact fees. These are charges in addition to those typically required (water, sewage, lighting, paving, etc.) and are imposed on real estate developers as a condition for them to receive permits for new construction.</p> | |
| Property Tax | | |
| <p>Property taxation is a common revenue source for local governments worldwide. It is historically linked to local government because real property cannot easily relocate to avoid taxation. While changes in property taxes can impact property values and influence people's decisions about where to live, these effects are generally smaller than those associated with income and sales taxes at the local level.</p> | <p>For its application, the party responsible for the payment of such tax established in the enabling law (or its national equivalent) must be defined, whether it is the owner or the occupants. Likewise, the legal and administrative capacities for the collection of the tax must be clarified. Define tax revenues, exemptions, property valuation (based on market value, annual rental value, physical condition and characteristics or a hybrid approach).</p> | <p>Recurring</p> |
| Personal Income Tax | | |
| <p>Local income taxes are not as widely used as property taxes in many regions. In some places, local governments levy a local income tax that is a portion of the central or state/provincial income tax. Another approach involves implementing a separate income tax system that is administered by the local government independently.</p> | | <p>Recurring</p> |
| Corporate Income Tax | | |
| <p>Levying local corporate income taxes has few advantages because they apply to a mobile tax base, resulting in revenue volatility. These taxes may deter economic development and create competition among local governments. Administering such taxes is complicated as corporations operate in multiple jurisdictions, making it challenging to determine taxable income.</p> | <p>Might discourage business investment in the local area due to the complexity and potential for higher taxation compared to other jurisdictions.</p> | <p>Recurring, but may vary depending on corporate profits and economic conditions</p> |
| General Consumption Tax | | |

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| | | |
|--|--|--|
| <p>General consumption taxes, such as value-added taxes (VAT) and retail sales taxes, are commonly used to generate revenue. VAT is typically levied at the central government level in most countries, while some regions have experimented with state/provincial VATs. Introducing a municipal sales tax alongside property taxes can help ensure that all users contribute to funding local services, reducing the burden on local residents.</p> | <p>Can be regressive, impacting lower-income individuals more. Requires a well-established system for collection and enforcement.</p> | <p>Recurring</p> |
| <p>Payroll Tax</p> | | |
| <p>Payroll taxes allow municipalities to tax commuters, ensuring those who use city services contribute even if they do not pay property taxes. However, these taxes can discourage employment and create distortions in workforce decisions.</p> | <p>May lead to reduced job creation or encourage businesses to relocate to areas with lower or no payroll taxes.</p> | <p>Recurring</p> |
| <p>Excise Taxes</p> | | |
| <p>Vehicle Tax</p> | | |
| <p>Excise taxes are applied to specific goods or services at the time they are purchased. A common example in municipal taxation is the vehicle tax. Fuel taxes can be seen as benefiting those who use the road system since they pay a tax related to their fuel consumption. They are considered somewhat crude instruments for pricing road use or addressing externalities like pollution and congestion. In contrast, congestion charges (tolls) and vehicle registration fees offer more effective ways to manage these issues.</p> | <p>Can be seen as a user fee for road use but may not accurately reflect individual usage or externalities like pollution.</p> | <p>Typically annual, though it could vary depending on the specific structure of the tax</p> |
| <p>Hotel Occupancy Tax</p> | | |
| <p>Another typical type of excise taxes is the hotel occupancy tax, an extra charge added to the existing central or state/provincial sales tax rate on hotel and motel accommodations. It is typically justified as a way to compensate local governments for the additional services required to accommodate tourists or visitors.</p> | <p>Aims to capture revenue from visitors who benefit from local services, but could impact tourism if perceived as too high.</p> | <p>Recurring</p> |
| <p>Contributions for improvements</p> | | |
| <p>Taxes associated with the benefit obtained by the property with the improvement of specific infrastructures. It is the tax contribution of the owner of a property or real estate that is benefited by an increase in the value of the land resulting from the construction of a public work, thus being a Our m that allows the creation of an exchange of interests by the parties involved.</p> | <p>It is important to determine the area that will benefit, in order to calculate the increase in land value per plot after the intervention. The commitment and</p> | <p>One-time / Recurring over a defined period of time</p> |

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| | <p>cooperation of the landowners should also be sought.</p> <p>It is recommended to have a clear communication plan regarding benefits and improvements, as well as to consider mechanisms to collect improvement fees over a longer period of time, making it easier for taxpayers.</p> <p>The relevant regulations establish that the contribution must be agreed with the people benefiting from the works, i.e., it cannot be imposed unilaterally, but must be agreed with the taxpayers.</p> <p>It is recommended that technical assistance be requested from specialized agencies for the correct implementation of this mechanism.</p> | |
| Exactions or impact fees (urban impact mitigation measures) | | |
| <p>A fee that developers must pay to have new developments approved or to obtain building permits.</p> <p>Also known as <i>extractions</i> or <i>impact fees</i>. These are fees in addition to those typically required (water, sewage, lighting, paving, etc.) and are imposed on real estate developers as a condition for them to receive licenses for new construction.</p> | <p>It is typically used to address new or adjust existing infrastructure needed to meet the needs of new development.</p> <p>Mitigation measures may be financial in nature or charged in kind by providing land, building infrastructure or facilities, or providing public services.</p> | <p>One-time</p> |

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| MUNICIPAL REVENUES (OWN) → FEES FOR USE OF SERVICES AND/OR IMPACT MITIGATION CONTRIBUTIONS. | | |
|---|--|-------------|
| Description | Considerations | Periodicity |
| Fees for the use of a specific municipal asset / service | | |
| Specific services that can be offered at competitive rates to the community. Such services may include parking, use of sports facilities, rental of space for events, temporary concessions of public spaces, among others. | They can be offered to citizens and the community on a subsidized basis, and to external parties as a recurring source of income. | Recurring |
| Fees for environmental and other services | | |
| Environmental assets and services are all those inputs from nature that humans use and/or intermediate inputs that are used for the production of goods and services. | <p>Municipal governments can act as guardians of the diverse ecosystems within their jurisdiction and ensure that the ecosystem services they provide are sustained over time.</p> <p>Some of the ecosystem services include: providing nutritious food and clean water; regulating disease and climate; supporting crop pollination and soil formation; and providing recreational, cultural and spiritual benefits.</p> <p>It is recommended to coordinate with official entities of the central government and/or specialized environmental ministries for the correct implementation of this tool.</p> | Recurring |

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| Contributions for mitigation of environmental impacts and/or damages | |
|---|---|
| <p>Legal and economic tool to assign responsibility for the necessary expenses in the restoration of the environment, as well as the payment of compensation for the damage caused. It is a tool that obliges the perpetrator of the damage to pay fair compensation, which helps to prevent future environmental damage.</p> | <p>These charges or fees can directly contribute to the remediation of environmental damage produced, as well as set up funds/trusts that can be used to finance urban development projects, urban regeneration, urban ecosystem regeneration, etc.</p> <p>It is recommended to coordinate with official entities of the central government and/or specialized environmental ministries for the correct implementation of this tool.</p> <p>By occurrence</p> |

| MUNICIPAL REVENUES (OWN) → URBAN FINANCING MECHANISMS | |
|---|--|
| Description | Considerations |
| Sale of development rights | |
| <p>One time-charges from acquiring the permission to further develop the land. The land ownership and land development right is separated, as the second can be obtained either by the landowner or a third party (normally auctioned in an open market).</p> | <p>It is applied to areas where there is demand for more intensive/additional development; it is used to manage, control and encourage growth in specific areas. It is important to have administrative and technical capacity to apply this type of rights.</p> <p>One-time</p> |
| Land leases and sale of public lands | |

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| <p>Government sells or leases the land to transform an asset into revenue for high-investment long-term public projects. Leases can be one-time or annual charges.</p> | <p>Assess that public land will not be needed in the future; transparent process and public consultation.</p> | <p>One-time / Annual</p> |
| <p>Transfer taxes</p> | | |
| <p>Tax in respect of the conveyance of the title to land rights from one party to another.</p> | <p>Normally a percentage of the total value of the property is destined to finance the property registration system.</p> | <p>Once</p> |
| <p>Land value increment taxes (optional land-use, change in density)</p> | | |
| <p>One-time charges applied to the potential increase in land value possibly resulting from public investments, change in land use or evolution of the market conditions.</p> | <p>It is not intended to recover the cost of specific interventions/infrastructure or service improvements. It applies to changes in land use, change of density (building or residential - number of floors or residential units allowed, for example), transfer of land to another party.</p> | <p>One-time</p> |
| <p>Land-use changes</p> | | |
| <p>The granting of more profitable land uses than those assigned in the Municipal Urban Development Plans or as a result of an update of the instrument, is associated with a requested compensation or contribution from the beneficiaries.</p> | <p>The granting of more profitable land uses is associated with a consideration or contribution from landowners.</p> | <p>One-time</p> |
| <p>Optional land-use</p> | | |

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| <p>Onerous acquisition by the property owners of a land use that is "optional" or "additional" to the "basic" use established in the municipal planning instruments.</p> | <p>Optional" land uses are established by the Municipal Urban Development Plans in certain zones, where it is possible to acquire greater building intensity, higher housing density or a broader land use.</p> |
|--|---|

| OWN-SOURCE MUNICIPAL REVENUE → LAND VALUE CAPTURE INSTRUMENTS | | |
|---|--|--------------------------|
| Description | Considerations | Periodicity |
| <p>Land Banking</p> <p>Land banking is a state-led land management tool used to ensure the future supply of land for development and to address various land market and land use planning challenges. It involves the strategic acquisition, holding, and management of land by government or public entities for future development purposes.</p> | <p>It is applied to areas where there is demand for more intensive/additional development; it is used to manage, control and encourage growth in specific areas. It is important to have administrative and technical capacity to apply this type of rights.</p> | <p>One-time</p> |
| <p>Land Readjustment</p> <p>Land readjustment is an urban development and regeneration strategy commonly employed in the redevelopment of old city cores. This process involves the consolidation, reshaping, and redevelopment of individual land parcels. The objective is to create a new and improved urban layout, where these land parcels are integrated into a more organised and efficient urban grid, complete with upgraded infrastructure. Land readjustment is typically a collaborative effort involving various stakeholders, including local governments, private entities, property owners, and non-governmental organisations.</p> | <p>Assess that public land will not be needed in the future; transparent process and public consultation.</p> | <p>One-time / Annual</p> |

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| Land Leasing | | |
| Land leasing is used by municipalities to generate revenue from the increase in land value resulting from public infrastructure investments and urban development. It involves granting the right to use land for a specified period, typically through leases or land tenure arrangements, in exchange for periodic payments or rent. | Normally a percentage of the total value of the property is destined to finance the property registration system. | Once |
| Inclusionary Housing or Zoning | | |
| Inclusionary Housing is a regulatory approach used by municipalities to promote socioeconomic diversity and affordable housing within a community. The fundamental concept behind inclusionary housing is that it encourages or mandates real estate developers to include a certain percentage of affordable housing units within their market-rate residential or commercial developments. | It is not intended to recover the cost of specific interventions/infrastructure or service improvements. | One-time |
| Exactions | | |
| Exactions refer to conditions imposed by a municipality on developers for the granting of special approvals or permissions necessary for a development project. Developers are asked to provide certain benefits to the community in exchange for the right to build on a particular parcel of land. The primary purpose of exactions is to offset the costs associated with the additional public services and infrastructure necessitated by new development. | Ensure that the exactions are proportionate to the impact of the development and legally defensible. They should be used to address specific needs created by the development, like infrastructure or community services. | One-time |
| Land Value Taxes | | |
| A land value tax (LVT) is a type of property tax that is based solely on the assessed value of the land itself, irrespective of any buildings, structures, personal property, or improvements on the land. This tax is unique in that it taxes the economic value of the land, often based on its location and potential use. | Requires a reliable and up-to-date assessment of land values. Can encourage efficient land use but might be challenging to implement in areas with fluctuating land values. | Recurring |

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| Impact Fees (Linkage Fees) | | |
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| Impact fees are charges imposed on developers by municipalities or local government authorities as a one-time fee or payment to offset the costs associated with a development's impact on public services and infrastructure. | Must be carefully calculated to reflect the actual impact of the development on public services and infrastructure. Important to balance between covering costs and not discouraging development. | One-time |
| Special Assessments | | |
| A special assessment is a mechanism used by municipalities to finance public improvements or services that specifically benefit certain property owners or properties. These charges are typically levied on property owners who receive direct and unique advantages from the public improvement or service. | They should be equitable, reflecting the degree of benefit to the property. Transparency in the process and clear communication with affected property owners are crucial. | Can vary; often levied as a one-time charge or over a defined period tied to the improvement or service. |
| Transfer of Development Rights | | |
| It is a land use planning tool that allows landowners to transfer the development potential, particularly the density allowances, from one piece of land to another. This mechanism serves multiple purposes, including generating revenue for public investment and supporting urban planning objectives. | Requires a robust legal framework and market for trading development rights. Can be used to preserve certain areas while encouraging growth in others. | Case-by-case basis, typically at the time of a development proposal or land-use change. |
| Charges on Building Rights | | |

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| <p>This is a mechanism used by municipalities to generate revenue for funding infrastructure or other public improvements. Developers pay fees to the municipality in exchange for the right to undertake additional development on their properties. This can take various forms, such as an increase in the Floor Area Ratio (FAR) or other development-related rights.</p> | <p>The fees should be proportional to the value added by the additional development rights. Important to ensure transparency in the process and equitable application to different developers.</p> | <p>One-time</p> |
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| PRIVATE SECTOR INVOLVEMENT → PUBLIC-PRIVATE PARTNERSHIPS (PPPs) | | |
|--|--|---|
| Description | Considerations | Periodicity |
| <p>Design-Build (DB)</p> <p>The Design-Build model is a traditional procurement model. It begins with the issuance of a tender, and a vendor is selected to design and construct a project, typically for a fixed fee. The private partner is responsible for building the infrastructure according to the government's specifications. The government maintains ownership of the project and has the option to operate it or outsource operations.</p> | <p>Requires clear specifications and expectations from the government. Risks associated with design and construction are transferred to the private partner, necessitating thorough contract management.</p> | <p>Project basis, typically with payment upon completion or at specified milestones</p> |
| Operation and Maintenance Contract (O&M) | | |
| <p>An Operation and Maintenance (O&M) contract involves a private company operating a publicly owned asset for a defined duration. Despite this operation, ownership of the assets remains with the public partner. Payment is either fixed or performance-based, with incentives for exceeding service levels or penalties for underperformance.</p> | <p>Effective performance monitoring and incentive structures are critical. Clear definitions of service standards and maintenance responsibilities are necessary.</p> | <p>Recurring</p> |

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| Build-Operate-Transfer (BOT) | | |
| <p>The Build-Operate-Transfer (BOT) model involves the private sector designing, funding, and building a new facility under a long-term concession. It is often used to finance large-scale infrastructure projects. The ownership is transferred back to the public sector upon completion of the project, typically in 20 to 30 years. Usually, BOT private contractors are special-purpose companies formed exclusively for a given project. This model offers significant construction freedom to the private partner and shifts equity risk to the public sector.</p> | <p>Long-term planning and risk assessment are crucial, with significant reliance on the private sector's financial and operational capabilities. The government should ensure alignment with public interests over the concession period.</p> | <p>Long-term</p> |
| Design-Build-Finance-Operate (DBFO) | | |
| <p>DBFO, prominent in UK's Private Finance Initiative (PFI) projects, involves private sector designing, building, financing, and operating an asset, then leasing it back to the government in 25 to 30 years. This minimises long-term risk for the public sector. The government retains project ownership.</p> | <p>Involves complex financial arrangements and long-term commitments. Requires careful assessment of the value for money and risk transfer. Effective partnership management and alignment with public</p> | <p>Long-term</p> |

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| | sector objectives are essential. | |
| Build-Own-Operate (BOO) | | |
| Build-Own-Operate (BOO) refers to a contractual arrangement where an investor constructs, operates, and maintains a facility. Once the facility is completed, the investor gains ownership and the ongoing right to operate it indefinitely, unless the government chooses to buy back the asset after a predetermined time, as agreed upon mutually. | Requires substantial initial capital investment and long-term commitment from the private sector. The government should ensure that public interests are safeguarded through regulatory and monitoring mechanisms. | Long-term |
| Build-Own-Operate-Transfer (BOOT) | | |
| Build-Own-Operate-Transfer (BOOT) is a project delivery method where a government entity permits a private sector party to finance, design, construct, own, and operate a project for a predetermined duration. This setup closely resembles the build-operate-transfer (BOT) model, with the key distinction being that the private sector party maintains ownership of the asset throughout the agreement's term. BOOT arrangements are frequently employed for building power stations, water treatment plants, and sewage facilities. | Similar to BOT, but with extended private ownership, requiring careful alignment with public sector goals and effective risk management. Suitable for large-scale infrastructure projects. | Long-term |
| Buy-Build-Operate (BBO) | | |
| Buy-Build-Operate (BBO) refers to a type of transaction where an existing asset is sold by the government to a private sector entity. In addition to the sale, the private sector entity is also responsible for rehabilitating or expanding the facility as needed to ensure its profitable operation. | Involves the privatization of existing public assets, necessitating a clear framework for asset valuation, rehabilitation responsibilities, and operational standards | Indefinite operation post-purchase |
| Build-Lease-Operate-Transfer (BLOT) | | |

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| <p>The Build, Lease, Operate, Transfer (BLOT) model is a project arrangement where a private contractor undertakes the construction of a project, typically on land leased from a public entity. The contractor is responsible for building the facility and then operating it throughout the duration of the lease period. At the end of the lease term, ownership of the facility is transferred back to the public entity or the client that originally granted the lease.</p> | <p>Requires clear terms for the lease and operation. The public sector retains land ownership, ensuring control over the project's location and purpose.</p> | <p>Defined by the lease term</p> |
| <p>Build-Own-Lease-Transfer (BOLT)</p> | | |
| <p>This heterodox procurement method of project financing involves a public sector client providing a concession to a private entity for constructing a facility. The private entity gains ownership of the facility, which is then leased to the public sector. At the lease term's conclusion, ownership of the facility is reverted to the government. This approach shifts the financial responsibility of project funding from the client to a private entity.</p> | <p>Shifts financial responsibility to the private sector while ensuring public sector control through leasing arrangements. Suitable for projects where immediate public funding is limited.</p> | <p>Lease period defines the operation phase</p> |
| <p>Build-Lease-Transfer (BLT)</p> | | |
| <p>Build-Lease-and-Transfer (BLT) refers to a contract-based setup where a concessionaire is authorized to finance and build a facility. Once the construction is finished, the concessionaire leases the facility to the relevant government agency for a predetermined period. At the lease term's end, ownership of the facility is seamlessly transferred to the government.</p> | <p>Ensures that the private sector bears the initial construction costs. The lease period should reflect the time needed to recoup investments and provide a fair return. Government oversight is essential to ensure that facility standards are met.</p> | <p>The lease period defines operation duration</p> |
| <p>Lease-Develop-Operate (LDO)</p> | | |
| <p>LDO is an investment model where a public sector entity maintains ownership of a recently constructed infrastructure facility. The facility is leased to a private promoter who develops and operates it, making lease payments to the public sector. This approach is commonly employed for airport development and allows the public sector to retain ownership while benefiting from private expertise and investment.</p> | <p>The public sector retains ownership and benefits from private sector expertise. Lease agreements must clearly define development, operation responsibilities, and lease payment structures.</p> | <p>Recurring</p> |

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| Design-Construct-Manage-Finance (DCMF) | | |
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| <p>The DCMF model involves delegating a private entity with the responsibilities of designing, constructing, managing, and financing a facility according to the government's requirements. The private entity follows the specifications outlined by the government for the facility's creation. The government's rent payments serve as a revenue stream for the private entity, and in return, the government benefits from well-designed, constructed, and managed facilities.</p> | <p>Involves comprehensive private sector involvement in facility creation and management. The government must ensure that the facility meets public service requirements and that costs are controlled.</p> | <p>Long-term</p> |
| Operate-Maintain-Transfer (OMT) | | |
| <p>In an OMT contract, the usual arrangement involves the service provider overseeing facility operations, handling maintenance tasks, and offering training in facility operation and upkeep. This continues until the responsibility can be handed over to the employer.</p> | <p>Suitable for scenarios where the public sector seeks expertise in operation and maintenance. The transfer of responsibility should be planned to ensure continuity of service quality.</p> | <p>The contract defines the operation and maintenance period</p> |
| Finance Only | | |
| <p>In this model, a private entity, often a financial services company, provides funding for an infrastructure project. In return, they charge the public-sector partner interest for using the funds.</p> | <p>Simplifies public-private partnerships by focusing solely on financing. The public sector must ensure that it can meet the financial obligations, including interest payments.</p> | <p>Typically tied to the repayment schedule of the loan or financial arrangement</p> |
| Management Contract Model | | |
| <p>Asset ownership remains with the state, and the public sector is accountable for capital expenditure. On the other hand, the private sector oversees operation and maintenance. These contracts typically span a duration of 3 to 5 years.</p> | <p>Focuses on the efficiency and expertise of the private sector in operations and maintenance while retaining public control over capital expenditures and asset ownership. The public sector</p> | <p>Short to medium-term</p> |

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| | needs to ensure effective oversight and performance metrics. | |
| Engineering-Procurement-Construction (EPC) | | |
| EPC contract is used to undertake construction works by the private sector on large-scale infrastructure projects. The government takes responsibility for funding an entire project, while a private sector partner is tasked with fulfilling the engineering and construction aspects of the project. | The government bears the full financial responsibility, with the private sector responsible for the technical aspects. Ensuring the project is completed on time and within budget is crucial. The contract should clearly define the scope and standards. | Project-based |
| Hybrid Annuity Model | | |
| The Hybrid Annuity Model (HAM) is a unique approach in infrastructure projects that combines elements from the traditional Engineering, Procurement, and Construction (EPC) model and the Build-Operate-Transfer (BOT) model with an annuity payment structure. Unlike BOT, where the private sector finances the project and recovers costs through user fees or other revenue streams, HAM involves a shared investment. The government provides a portion of the initial investment, and the private sector contributes the remaining amount. | A collaborative approach that reduces financial burden on both public and private sectors. Risk sharing is a key feature, requiring clear agreements on investment proportions and responsibilities. Suitable for large-scale projects where user-fee recovery is uncertain. | Long-term |

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| EXTERNAL FINANCING → LOCAL GOVERNMENT DEBT | | |
| Description | Considerations | Periodicity |

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| Domestic credits/loans | |
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| <p>Loans provided by local financial institutions or public debt provided by an institution of a higher hierarchy to the municipality, such as the national government.</p> | <p>They are provided in local currency and are more accessible to local governments, so they should be a priority, compared to international credits.</p> <p>It is recommended that technical assistance be requested from specialized agencies for the correct implementation of this mechanism.</p> |
| International credits/loans | |
| <p>Loans provided by Multilateral Development Banks, normally provide a low interest rate and longer payment terms. They entail currency risks because the loan is generally in international currency but the revenues in local currency.</p> | <p>Typically, the processes are more complex in terms of project preparation requirements and take longer. Generally, loans are not granted directly to the local government, but to the national government, which provides payment guarantees.</p> <p>Resources from international cooperation agencies to carry out projects through technical, academic, humanitarian or financial cooperation.</p> <p>There are several cooperation mechanisms: regional, bilateral, triangular, among others. Each one establishes the rules and application guidelines, usually related to development, sustainability, emergencies and health.</p> |
| By occurrence | |

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| | It is recommended to coordinate with multilateral entities and specialized agencies for the correct implementation of this tool. | |
| Private capital investments | | |
| <p>Different modalities of Public Private Partnerships (PPP) in which the private sector invests in public infrastructure and services by leading its execution, operation and/or service provision (e.g. road infrastructure).</p> | <p>There are different modalities of Public-Private Partnerships (PPP) in which the private sector invests in infrastructure and public services leading their execution, operation and/or provision of services (e.g., road infrastructure).</p> | |
| | <p>This investment is paid for over time by end users (e.g., tolls), by the government, or by both. There are multiple ways to carry out these partnerships. Normally, it is recommended that they take place when private sector participation involves a transfer of knowledge, technology and management systems.</p> | By occurrence |
| | <p>It is recommended that technical assistance be requested from specialized agencies for the correct implementation of this mechanism.</p> | |
| Municipal Bonds | | |
| <p>Municipal bonds are debt securities issued by municipal governments, including cities, counties, states, and other local authorities. The primary purpose of issuing municipal bonds is to raise funds for financing various capital expenditures or infrastructure projects that benefit the community.</p> | <p>These bonds often enjoy tax-exempt status, making them attractive to investors. It's important for the issuing municipality to maintain a</p> | <p>The repayment schedule is defined at issuance</p> |

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| | good credit rating to ensure lower borrowing costs. | |
| Revenue Bonds | | |
| <p>Revenue bonds are a type of municipal bond issued by a local government or public agency to finance a specific project or facility that is expected to generate revenue. Unlike general obligation bonds, which are backed by the full faith and credit of the issuing municipality, revenue bonds are secured by the income generated by the project or facility they finance.</p> | <p>The feasibility and projected revenue of the project being financed are critical, as these bonds are repaid from specific revenue sources rather than general taxation. This requires careful project assessment and revenue forecasting. Suitable for self-sustaining projects like toll roads, utilities, or airports.</p> | <p>The bond term aligns with the expected revenue generation timeline of the project, which can vary widely but is often long-term to match the lifecycle of the financed facility or project.</p> |

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| EXTERNAL FINANCING → GOVERNMENT AND/OR PRIVATE FUNDS | | |
| Description | Considerations | |
| Subsidies | | |
| <p>Contribution or economic support granted by a governmental authority or institution, intended to promote the development of projects to be implemented.</p> | <p>- They are usually granted to activities that do not generate any economic benefit.</p> | |
| Concessions | | |
| | | By occurrence |

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| <p>A permit issued by a governmental authority that allows the use and management of a space or project.</p> | <p>These may be for exploitation and public works. The former refers to when a publicly owned space is granted to a private entity, through a public bidding process, to make use of it and offer a service.</p> <p>The second type of concession consists of the development of the public space or facility by the private sector, which must finance its construction. In return, the concessionaire receives the right to exploit the property for a certain period of time, and then it becomes part of the government's public property.</p> <p>It is recommended that technical assistance be requested from specialized agencies for the correct implementation of this mechanism.</p> | <p>Recurring, predetermined period of time</p> |
| <p>Transfers / Financial allocations from Central Government</p> | | |
| <p>Funds from the tax revenues of the Republic's General Budget, which are transferred to Regional or Local Governments to fund various programs or projects, in accordance with their official functions. These transfers must be faithfully aligned to the allocated budget of each entity, and will be restricted to the maximum amount allowed for execution, according to their historical records.</p> | <p>Its objective is to promote investment in the different municipalities of the country, with a redistributive criterion, in favor of the most remote and depressed areas, prioritizing the allocation to rural and urban-marginal localities of the country.</p> <p>Likewise, they can come from taxes on economic activities that occur within their political limits (zones of influence), such as mining (canon</p> | <p>Annual / Multi-year</p> |

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| | <p>and sur-canon), commerce (royalties, customs revenues), among others, which will be redistributed as a participation in the income tax.</p> <p>Likewise, specific transfers can be established and safeguarded in funds or trusts in specific cases of disasters. These funds may be accessible on a national or regional basis, so it is advisable to review the various options available to local governments to access these resources in the event of a disaster.</p> | |
| Donations or voluntary contributions | | |
| <p>Non-reimbursable monetary or in-kind funds granted on a voluntary basis, i.e., without obligation.</p> | <p>There are different types of donations or contributions according to their frequency, which can be one-time or periodic.</p> | <p>By occurrence</p> |

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| EXTERNAL FINANCING → MULTILATERAL AND/OR INTERNATIONAL FUNDS | |
| <p>Description</p> | <p>Periodicity</p> |
| Thematic areas financing (Climate Change) | |

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| <p>Internal or external funds obtained from agencies, organisations and/or private entities focused on a specific thematic area, or revenues targeted to a specific topic or objective (housing, climate change, mobility and transport, etc.).</p> | <p>It is recommended that technical assistance be requested from specialized agencies for the correct implementation of this mechanism.</p> | <p>By occurrence</p> |
| <p>Green bonds</p> | | |
| <p>The proceeds are invested exclusively in projects that produce environmental benefits, such as the development of Nature-based Solutions and the ecosystem services that are provided by them. Green bonds are issued by private or public stakeholders committed to pay in the future with a fix or variable rate of return, allowing financial viability for present projects.</p> | <p>Consideration must be given to the capabilities of the entity issuing the bond, which will have to establish procedures for monitoring and reporting on the use of proceeds.</p> <p>There are principles and standards that help assess whether an asset or project can qualify as green (e.g., the Green Bond Principles, the Climate Bond Taxonomy, the Climate Bond Standard and the Certification System).</p> <p>Certification of green and climate bonds can improve trust and transparency, which in turn helps attract investors seeking green investments.</p> <p>It is recommended to coordinate with official entities of the central government, specialized entities, multilateral organizations and/or environmental ministries for the correct implementation of this tool.</p> | <p>One-time</p> |
| <p>Catastrophe Bonds (CAT Bonds)</p> | | |

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| <p>These are debt instruments issued by insurers to raise funds to cover damages caused by a disaster. During the issuance of these bonds, the insurers commit to issue a coupon with special conditions so that the entire debt can be covered during a specific period.</p> | <p>There are different ways to cover the bond debt, either by deferred payments, which do not exceed 5 years of duration.</p> <p>CAT bonds have a broad spectrum of applications in the event of a disaster, which can cover everything from earthquakes, volcanic eruptions, fires to hurricanes, floods and storms.</p> <p>CAT bonds have been used most frequently during the COVID-19 pandemic and the recovery process from that emergency.</p> | <p>By occurrence</p> |
| Carbon finance | | |
| <p>Where climate actions include a GHG mitigation benefit (e.g. waste management that captures methane), carbon markets through carbon offsets can be used to leverage private and public funding. Action supported through carbon finance must account for measurable, reportable and verifiable GHG emission reduction.</p> | <p>When a project is able to create quantifiable benefits for the community and biodiversity, they can increase the value of carbon offsets through certified sustainable development standards and increase their access to carbon markets.</p> <p>Aggregating technology options at the city level can help achieve a scale of emissions reductions needed to access carbon markets.</p> <p>It is recommended that technical assistance be requested from specialized agencies and/or private entities for the correct implementation of this mechanism.</p> | <p>Recurrent for a defined period of time</p> |
| Climate funds, foundations, charities and non-profit organizations: | | |

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| <p>Many international climate funds (e.g., Green Climate Fund, Global Environment Facility, Global Climate Partnership Fund, etc.), philanthropic foundations and charities, non-profit organisations (e.g., ICLEI) operate grant programmes. There are also regional and national funds destined exclusively to address climate change issues in specific countries. (e.g Amazon Fund, National Climate Change Trust Funds). While many are linked to associated climate change planning support programmes, there are also some opportunities to fund smaller-scale actions.</p> | <p>Consider the responsible entity and the geographic scope of the project, as well as its scale of implementation: local, subnational or national. This will facilitate the identification of the best funding entity, as there are specific funding programs depending on the scope and type of actor leading the project.</p> <p>Identify the cross-cutting issues that funders hope to address with the grant (resilience, biodiversity, economic development, health, etc.).</p> <p>It is recommended to coordinate with official entities of the central government, specialized entities, multilateral organizations and/or environmental ministries for the correct implementation of this tool.</p> | <p>One-time / Annual renewal</p> |
| <p>Insurance: Insurance programs can help transfer and reduce climate change risks. The main objective of insurance is to ensure financial and fiscal resilience in case of shocks and stressors. In addition,</p> | <p>Consider insurance as part of the local resilience strategy to accelerate investments in disaster risk reduction and climate adaptation actions, as well as address the need for rapid access to early recovery financing.</p> | <p>Recurring</p> |

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| <p>insurance can help reduce risk by increasing risk awareness, encouraging risk reduction (e.g. the installation of climate resilient residential infrastructure) and supporting economic development.</p> | <p>Parametric insurance, which provides a payout based on a triggering event, is well suited to cities because the diverse mix of infrastructure and other assets in the urban context may be too complex to underwrite and insure through standard risk pooling arrangements.</p> <p>It is recommended that technical assistance be requested from specialized organizations and/or private entities for the correct implementation of this mechanism.</p> | |
| <p>Land-based financing for climate action</p> | | |
| <p>There are numerous financial mechanisms for climate adaptation that derive from the sustainable management of ecosystem services and green spaces. These can fall under the category of land-based financing tools for climate action, which include land value capture mechanisms (LVC) or property, income and sale taxes. These mechanisms can help pay for urban infrastructure investments related to climate change mitigation and adaptation.</p> | <p>Effective for generating revenue for climate-related projects, but requires careful valuation of land and assessment of tax impacts on property owners. Should align with broader urban planning and sustainability goals.</p> | <p>Varies depending on the specific mechanism used (e.g., annual for property taxes, one-time for land value capture).</p> |

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| INNOVATIVE AND SPECIALIZED FINANCING MODELS | | |
|--|---|---|
| Description | Considerations | Periodicity |
| Tax Increment Financing (TIF) | | |
| <p>Tax Increment Financing (TIF) is a financial mechanism commonly used by U.S. cities to rejuvenate blighted urban areas, particularly downtown cores. Cities create TIF districts for capital improvements and allocate any future growth in property taxes within these districts to fund infrastructure and economic development projects. The goal of TIF districts is to enhance urban quality of life and boost future tax revenue.</p> | <p>Can spur redevelopment in underutilized urban areas but may divert tax revenues from other municipal needs. Requires careful planning to ensure the benefits outweigh the costs and that the redevelopment leads to desired economic growth.</p> | <p>Long-term</p> |
| Revolving Funds | | |
| <p>Revolving funds are financial mechanisms used to provide loans for specific projects or initiatives, and once the loans are repaid, the funds are made available for lending again. These funds are designed to be self-sustaining and are often used for various purposes, including infrastructure development, community improvement, and economic development.</p> | <p>Must be effectively managed to ensure loan repayment and fund sustainability. Suitable for ongoing projects where initial capital can be recouped and reinvested.</p> | <p>Ongoing, as funds are continuously recycled once loans are repaid.</p> |

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| Microfinancing | | | |
| <p>Microfinancing, also known as microcredit, refers to the provision of small financial services, such as loans or credits, to individuals, entrepreneurs, and small businesses who typically lack access to traditional banking services. Microfinance institutions (MFIs) and organisations offer these financial services to help low-income and underserved populations access capital and improve their economic prospects.</p> | <p>Provides critical financial services to underserved populations. Risk management and understanding of local economic conditions are important for ensuring repayment and sustainability.</p> | <p>Typically short to medium-term, depending on the terms of the individual loans or credits.</p> | |
| Grants from International NGOs | | | |
| <p>Grants from international Non-Governmental Organisations (NGOs) are financial resources provided to support specific projects or initiatives, often in developing countries. These grants operate independently of government entities and are used to address social, humanitarian,</p> | <p>Often targeted towards specific projects with clear objectives and measurable outcomes. Requires compliance with the grant's terms and conditions, and effective project management to meet the NGO's requirements.</p> | <p>One-time / Project-specific</p> | |

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| environmental, or developmental issues. | | |
| Equity Financing | | |
| Equity financing refers to a method of raising capital or funds for a project, business, or organisation by selling ownership shares or stakes in a publicly owned asset. Individuals or entities invest money in exchange for ownership or equity in the venture. | Offers a way to raise capital without incurring debt, but it dilutes ownership. Suitable for projects or businesses with high growth potential. Transparency and clear valuation methods are essential. | One-time event per fundraising round |
| Leveraged Funds | | |
| Leveraged funds involve using an initial amount of capital as a foundation and then securing additional financing through borrowing to amplify available resources. While this strategy can enhance the potential for gains, it also entails increased risk and financial obligations, particularly if the investment or project does not perform as expected. | Amplifies financial resources but increases risk exposure. Requires careful financial management and risk assessment to ensure that returns justify the borrowing costs. | Typically used for specific investment opportunities or projects |
| Performance-Based Grants | | |
| Performance-based grants are a type of financial assistance provided to individuals or organisations with the condition that the disbursement of funds is contingent upon the achievement of predetermined performance or outcome targets. These grants are designed to incentivize and reward successful results. | Motivates grantees to achieve specific outcomes. Requires clear definition of performance targets and robust mechanisms for monitoring and evaluation. | Disbursements are usually contingent on meeting performance milestones, which can be short-term or spread over the duration of the project |

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| Equity Crowdfunding | | |
| Equity crowdfunding is a form of fundraising for a project that attempts to attract small investments from a large number of individuals or investors, often through online crowdfunding platforms. In equity crowdfunding, investors receive ownership shares or equity in the venture in exchange for their financial contributions. | Democratizes investment opportunities but requires effective marketing and investor relations. Investors should be aware of the risks associated with early-stage investments. | Typically a one-time fundraising event, although additional rounds may occur as the venture grows. |
| Social Impact Bonds | | |
| Social Impact Bonds (SIBs) are innovative financial arrangements designed to address social challenges and improve specific social outcomes through partnerships between the public sector, private investors, and service providers. | Aligns investment with social outcomes, but requires precise definition of success metrics and robust impact measurement. Often involves complex multi-party agreements. | Long-term |
| Shared Savings Mechanisms | | |
| Shared-savings incentives are often used by utility companies to enhance their earnings by promoting and rewarding customer energy efficiency efforts. These incentives create a win-win situation where the benefits of cost-effective energy efficiency measures are shared among various stakeholders, including customers participating in utility demand-side management (DSM) programs, all utility ratepayers, and the utility company itself. | Encourages energy efficiency and conservation, benefiting all stakeholders. The mechanism's success depends on effective implementation and customer engagement. | Ongoing |
| Blended Financing | | |

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| <p>Blended financing combines various instruments, such as grants, guarantees, debt, and equity, in a strategic manner to support projects or initiatives, particularly in sectors like development, infrastructure, and sustainable investments. The key feature of blended finance is its flexibility, which allows for customised financial payoffs based on the specific needs and risks associated with a project.</p> | <p>Enables leveraging of funds and risk sharing across multiple financiers. Requires careful coordination and alignment of different financial instruments and stakeholders' interests.</p> | <p>Project-based</p> |
| <p>Crowdsourced Financing for Public Amenities</p> | | |
| <p>Crowdfunding is an increasingly popular tool for achieving “citizen co-funding” of public amenities. Unlike traditional methods of funding, where public amenities are typically financed by government budgets or grants, crowdsourced financing relies on contributions from a large number of individuals, businesses, or organisations.</p> | <p>Engages the community directly in funding projects, enhancing public buy-in and support. Requires effective marketing and clear communication of project goals and benefits.</p> | <p>One-time/ Sometimes multiple rounds</p> |
| <p>Rate of Return Guarantees</p> | | |
| <p>Rate of return guarantees serve as financial incentives to encourage private sector participation in projects such as infrastructure, renewable energy, and public services. These guarantees promise a specific rate of return on the investment, typically offering a level of financial security to private investors who may otherwise be hesitant to commit their capital to the project.</p> | <p>Attracts private investment by reducing financial risk. Important to set realistic return rates and ensure the project's long-term viability.</p> | <p>Tied to the duration of the investment</p> |
| <p>Community Share Offers</p> | | |

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| <p>Community shares are a type of equity investment made by individuals into cooperative organizations or community benefit societies. When individuals purchase these shares, they become partial owners of the organization and hold a financial interest in its success. Community shares are withdrawable and non-transferable.</p> | <p>Strengthens community engagement and investment in local projects. Shareholders should be aware of the risks and potential for returns.</p> | <p>One-time / Multiple phases</p> |
| <p>Pay-for-Success Grants</p> | | |
| <p>The strategy of procuring positive social or environmental outcomes by paying for an intervention only once it produces those outcomes is referred to as Pay-for-Success (PFS) contracting. This innovative approach to funding initiatives aims to shift the financial risk from funders and governments to service providers and investors while ensuring that resources are directed toward programs that demonstrably achieve desired outcomes.</p> | <p>Focuses on outcomes, incentivizing effective and efficient service delivery. Requires clear metrics for success and robust evaluation mechanisms.</p> | <p>Outcome-dependent and tied to the project or program duration</p> |
| <p>Community Development Block Grants</p> | | |
| <p>The Community Development Block Grants (CDBG) are a form of financial assistance provided by the U.S. federal government to states, cities, and counties with the goal of enhancing urban communities. It focuses on improving housing quality and increasing economic opportunities, especially for low- and moderate-income individuals.</p> | <p>Targets urban development, with a focus on benefiting low- and moderate-income individuals. Requires compliance with federal guidelines and effective community planning.</p> | <p>Annual</p> |
| <p>Enterprise Zones</p> | | |

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| <p>An enterprise zone is a designated geographical area that receives specific incentives from the government to stimulate private economic development and job creation within that region. These incentives include tax breaks, regulatory exemptions, financial incentives, and various forms of public assistance.</p> | <p>Benefits must be balanced with potential displacement effects and ensuring equitable development.</p> | <p>Long-term</p> |
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3. Below are some case studies on the use of some financial instruments.

| <i>Case 1: Earthquake in Oaxaca and FONDEN</i> | |
|---|-------------------|
| <i>Location: Oaxaca, Mexico</i> | <i>Year: 2017</i> |
| <p>In 2017 there was an earthquake of magnitude 8.2 which devastated several municipalities in the southern part of the state of Oaxaca, Mexico. Among them, the municipality of Juchitán was the most affected city with 14,000 collapsed homes, for which it was declared a disaster area and requested support from the Natural Disaster Fund (FONDEN), whose objective is to support the attention of unforeseeable disasters whose magnitude exceeds the financial response capacity of the states and municipalities. To address this disaster, a State Reconstruction Commission was created to report the damage to infrastructure through different evaluation processes, request resources from FONDEN and manage the reconstruction process. In the first weeks after the disaster occurred, resources were allocated to address priority and urgent works known as Immediate Partial Support (APIN, for its acronym in Spanish). Later, with a damage assessment based on photographic supports and satellite geo-references, the amount of damages was quantified and an authorization was issued to FONDEN for the delivery of the financial support in partial installments that needed to be covered for the reconstruction of the city and the support to the affected population.</p> | |
| <i>Case 2: Developer Contributions</i> | |
| <i>Location: New South Wales, Australia</i> | |
| <p>In Australia, Developer Contributions are currently applied in the states of New South Wales, Victoria and Queensland under legislation that articulates planning provisions and policies. The legislation establishes an articulated system covering: definition of infrastructure, detailed plans and contributions, the different types of development, the place of contributions in planning, as well as restrictions on the application of contributions.</p> <p>In New South Wales there is a more established tradition in the application of these contributions, defined in Section 94 of the New South Wales (NSW) Environmental Planning and Assessment Act of 1979. This Act calls them "Contributions towards provision or improvement of amenities or services" and provides that when a development seeking approval requires the provision of or increases the demand for public facilities or services in the area, the competent authority may require the dedication of land free of charge or the payment of a monetary contribution.</p> <p>The value of the contribution does not depend on the demand generated by the particular development that is processing the authorization, but is a proportion of all future demand in the city, estimated for the next 10 years. Furthermore, it establishes that although the services financed by the contribution must serve the needs of those who created this new demand, they do not necessarily have to be located close to the development that finances them.</p> | |

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Case 3: Bonus Plazas or Privately Owned Public Spaces (POPS)

Location: New York

These emerged in 1961, when the New York City zoning ordinance included the possibility of increasing the densities of some areas by offering density bonuses to those property owners who were willing to create publicly accessible plazas and galleries on their properties.

Through this legal device, developers in certain areas of the city who offer to build public spaces on their land can obtain a density bonus to increase the buildable area of their project. Depending on the density of the district in which the project is located, developers obtain between 4 and 10 m² in extra density bonuses for each m² of plaza and between 2 to 3 m² of extra density for each m² of gallery with public access. Initially, these bonuses were obtained "as of right", that is, during the project approval process once it was demonstrated that the bonuses had been correctly calculated and that the minimum standards for the plaza or gallery had been met.

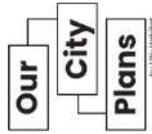
By the year 2000, 503 public spaces had been created through this mechanism on private property, in 320 commercial and residential buildings and facilities, totaling 3.5 million square feet (325,500 m²). These spaces were created in exchange for the authorization of approximately 20 million square feet of density bonuses (i.e., 1.8 million m² of additional buildable square footage over and above what was established in the planning), of which 16 million had already been built by the year 2000. Kiefer (2001) illustrates that the city obtained an area of publicly accessible space equivalent to about 30 New York City blocks in exchange for authorizing an extra buildable area equivalent to 1.6 World Trade Centers, however, this mechanism has not been without controversy.

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Place in the following table the instruments that the team considers appropriate for effective financing for each strategic project in the portfolio. You can use this same table to propose financial instruments for other scales of implementation delineated in Block F Land Management Plan. An example is shown below in red.

| Table B. Proposed Financial Instruments for Strategic Project Portfolio | | |
|---|---|--|
| Strategic Portfolio Projects | Description | Instruments financial |
| Neighborhood Center (Nichupté Bridge) | This project consists of the integration of the Glorieta Antigua Torre de Control into the space designated as a green area to the north. Through the incorporation of proximity facilities (free first floor), the humanization of the public space and local commerce, it seeks to create incentives to attract the population and encourage activities of permanence in the vicinity. The project is defined based on the vocation of the existing space and enhances the area with consolidated vegetation. | <ul style="list-style-type: none"> • Operating budget of the agencies involved • Applicable federal funds and programs • Cooperation for public works: contribution for improvements • Taxes and royalty collections: real property taxes • Additional construction rights: changes in land uses and optional land uses |
| | | |
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4. Place in the following table the instruments that the team considers appropriate for effective financing for each line of action.



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Table C. Proposed financial instruments for lines of action

| Strategy | Line of Action | Instruments financially compatible |
|----------|--|---|
| 1 | 1.1 Urban intervention in the Glorieta Antigua Torre de Control. | <p>Operating budget of the agencies involved</p> <p>Applicable federal funds and programs</p> <p>Cooperation for public works: contribution for improvements</p> <p>Taxes and royalty collections: real property taxes</p> <p>Additional construction rights: changes in land uses and optional land uses</p> |
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T51 Regulatory Instruments Guide

Description

This catalog helps to assess the existing legal framework, as well as the legal requirements for plan approval and, finally, to identify potential improvements to the current regulations to ensure proper implementation of the plan, and the prioritized projects. For a complete assessment of legislation, use the [Planning Law Assessment Framework](#) developed by UN-Habitat.

Participants

This task is carried out by the technical team and institutions involved with legal approvals and its development.

Instructions

1. Complete the following table identifying the most relevant instruments for each territorial scale, seeking to identify those that most directly influence the implementation of the strategic project portfolio, and/or the implementation of the lines of action. Refer to the results of the **Legal Framework Review (Activity 2)** for reference.

| Table A. Regulatory Instruments | | |
|---------------------------------|--|--|
| Scope | Examples | Instruments |
| National | Urban or tax laws Sustainable Urban Development Act National urban policy National housing policy Sustainable building code Equity policy Policies Development Vision and Plans | <ul style="list-style-type: none"> • <i>General Law of Ecological Balance and Environmental Protection and its Regulations on Environmental Impact.</i> • <i>General Wildlife Law.</i> • <i>General Law and Regulations for Sustainable Forestry Development.</i> • <i>General Law of National Assets and Regulations for the Use and Development of the Territorial Sea, Waterways, Beaches, Federal Maritime-Terrestrial Zone and Land Reclaimed from the Sea.</i> |
| Local / Municipal | Urban Plans Neighborhood Plans Spatial visions Institutional mechanisms Participatory mechanisms Ordinances Urban parameters Construction regulations Zoning code Building code | <i>Municipal Urban Development Program of Benito Juárez, Quintana Roo 2018-2030</i> |

T51 Regulatory Instruments Guide

2. Then discuss and respond to the following regulatory framework checklist.

Identification of planning instruments (at the national, regional and metropolitan levels)

- What are the existing planning documents at different planning scales? What is the purpose of each?
- Which institution(s) is/are responsible for approving, implementing, updating and regulating each planning document?
- Are there national/regional/metropolitan urban development plans and are they legally binding? What is recommended for the local context?
- What institutional body/ies are responsible for approving and/or developing local plans?
- What are the requirements for approval of the planning document?

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- Identify the most relevant regulatory instruments, and complete the table indicating the proposed improvements and/or modifications to each legislation, as well as the regulations to be incorporated, to ensure the correct implementation of the **strategic project portfolio**.

| Table B. Proposed Policy Instruments for Strategic Project Portfolio | | | |
|--|--|--|---|
| Prioritized projects | Instruments identified | Proposed improvement and/or modification | New regulations to be incorporated, modified or adapted |
| Neighborhood Center (Nichupté Bridge) | Tax instruments for the recovery of property value | <i>In Mexico, there are few applications of specific tax instruments that tax real estate capital gains or the increase in the value of the land generated by public action. The Political Constitution allows it; however, in order to implement it, it would have to be added in the Fiscal Code of the State of Quintana Roo and in the Treasury Laws. It is worth mentioning that the implementation of tax instruments will surely be rejected by the citizens, especially if the instrument for its collection (especially the mechanisms for accountability) and the transparency in the use and destination of the resources are not clear, timely and truthful.</i> | |
| | | | |
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Keep the following considerations in mind when defining financial mechanisms:

- The incorporation of new regulations may be beyond the competence of the technical team and/or the municipality.
- In all cases, it is recommended to identify the agencies in charge of introducing such legislation, or implementing improvements to existing legislation, according to their territorial scale.
- The tables are referential, and more projects/instruments may be included, if applicable.

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4. Identify the most relevant regulatory instruments, and complete the table indicating the proposed improvements and/or modifications to each legislation, as well as the regulations to be incorporated, to guarantee the correct implementation of the **lines of action and strategies**.

| Table C. Proposed policy instruments for lines of action | | |
|--|----------------|---|
| Strategy | Line of action | New regulations to be incorporated, modified or adapted |
| | | |
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T52 Governance Instruments Guide

Description

The purpose of this tool is to provide a catalog of management instruments that can be used to implement the portfolio of strategic projects and lines of action.

Participants

This task is carried out by the technical team and the entity, or group, who have knowledge and experience in the management of urban projects in the municipality.

1. Review the following table and discuss with the team how one or several action systems can be articulated with the strategic project portfolio and the lines of action.

TABLE A. Actuation system

| Action | Definition |
|----------------|--|
| Public | It is the action that takes place in the public sphere, in the interests of society. |
| Private | It is the action that appeals to the interests of a group or a person. It refers to the areas of the market and individual life. |
| Public-Private | It is the collaboration between the public sector and the private sector through public-private partnerships or alliances with the purpose of aligning the objectives of the different national actors and creating consensus; it has been present and has evolved in all modern States in different ways. There are two types: A. Those covering a general and political scope, and aimed at designing general agreements on the development of a group of countries, a country or a region. B. Those that have an impact on a specific area related to the provision of infrastructure, goods and services -specific and productive partnerships. |

2. Below are some case studies on the use of some management tools.

Case 1: The Santiago Public-Private Water Fund

Location: Santiago, Chile

Year: 2019

Santiago's Water Fund was created to protect the city's freshwater. Through the Water Fund, the city sought to develop a solution to adapt to alterations in precipitation due to climate change by investing in conservation, green infrastructure, and watershed restoration. The fund will help maintain and increase the availability of surface and groundwater in quantity and quality and help manage the risks associated with extreme weather events. It is the first water fund in Chile and is based on the cooperation of different public and private actors, such as the Regional Government, the Association of Rural Municipalities, a local water supply company, the companies Nestlé and Anglo American, and NGOs, such as the Nature Conservancy.

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Case 2: Tacubaya Urban Regeneration Project

Location: Mexico City

Year: 2010

The Tacubaya Cooperative Action System seeks to restore both the social and urban-spatial fabric in order to renew and recover the area through public and private investment based on the implementation of sustainability policies with a comprehensive approach. Strategic actions include the recovery of public space, the organization of transportation and commerce, the reuse of abandoned properties and the repopulation of the neighborhood. It includes an area of 141.2 hectares in 4 neighborhoods of the Miguel Hidalgo district.

Among the projects planned are: Tacubaya Sur Social Housing (Ciudad Perdida), Tacubaya Modal Transfer Center (CETRAM), remodeling of the "Peña Manterola" and "Becerra" markets, improvement of the urban environment of Tacubaya Sur, remodeling of the Pediatric Hospital, Water District and intervention in schools.

Case 3: La Plaine Saint-Denis and the Mixed Economy Companies (Sociétés d'Economies Mixtes)

Location: Paris, France

Year: 1993

Mixed capital companies (Sociétés d'Economies Mixtes, SEM) are common in France, where local governments make frequent use of them for social housing projects, urban infrastructure and municipal public services such as waste collection and public transportation.

A representative example of this type of joint venture is La Plaine Saint-Denis, which is implementing a complex urban project to revitalize 700 hectares of urban land in the northeastern part of Paris. The construction of the Grand Stadium for the 1998 World Cup was the trigger investment for a project with broader objectives that included boosting the overall economic recovery of the area, revitalizing the former industrial zone, developing a social housing program, improving the environment, and renewing the transportation system that connects this area to the rest of the city.

In France, public-private companies are created by municipal governments under the so-called Law on Local Mixed-Capital Companies. This law describes the decision-making bodies of the SEMs and defines the level of autonomy of the participants in decision-making. Local governments, with an equity participation of between 51% and 80%, are the actors with the most significant role.

The development of the La Plaine Saint-Denis project was divided into four areas: urban development, transportation, business and commercial zones, and construction of the Grand Stadium.

- *Urban development was organized in the form of a mixed capital company called Plaine Development. It involved private banks, with a 23% investment, the central government, with 8%, and the Syndicat La Plaine Renaissance, which included the municipalities of Saint-Denis, Aubervilliers and Saint-Ouen, with 69% of the capital.*
- *The transportation improvements and the promotion of business and commercial areas were carried out through another public-private partnership called Société Nationale d'Economie Mixte (SANEM), involving the following members: the Municipality of Saint-Denis, the Caisse de Dépôts et Consignations, the Gas (GDF) and Electricity (EDF) companies, and the Paris Chamber of Commerce.*

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- Finally, the construction of the Grand Stadium was carried out by a public-private partnership between the central government, the construction company BOUYGUES and two other companies, Lyonnaise des Eaux DUMEZ and Général des Eaux.

Case 4: Development Corporation of Bilbao, Ría 2000 Company

Location: Bilbao, Spain

Year: 1992-present

Bilbao, Sociedad Ría 2000 is the result of agreements reached between the different national, regional and local government administrations within the framework of a collaboration process to promote the development of the Basque Country and the transformation of Bilbao. It is a joint stock company with public capital in which the Spanish central government through the Ministry of Public Works and its dependent companies (Sociedad Pública Empresarial del Suelo, Autoridad Portuaria de Bilbao and Empresa de Ferrocarriles RENFE and FEVE) and the Basque administrations (Basque Government, Diputación Foral de Vizcaya and the Municipalities of Bilbao and Baracaldo) participate in equal parts.

The objective of the Company is to recover degraded zones or industrial areas in decline in metropolitan Bilbao, through the coordination and execution of actions that integrate urban planning, transportation and the environment. The aim is to generate public works for the municipalities with the income obtained from the sale of land for development to the private sector.

The incorporation of Sociedad Ría 2000 was financed 50% by the Spanish State and 50% by the Basque institutions. The initial capital of the company was only US\$1.7 million, but the company also has resources from the sale of land assigned by the public companies dependent on the Spanish State, mainly Puerto Autónomo and RENFE. On the basis of the raw land, Sociedad Bilbao Ría 2000 plans, restructures, develops and resells the plots (as part of existing or future projects) to public or private developers. The Company's existence is justified by the fact that it is executing the agreed development plans. Once these are completed, and if no new ones are generated, the Company's purpose will have been fulfilled and it will be extinguished.

The Company's activities have had a variety of impacts on the development of Bilbao, including: the recovery of previously depressed and uninhabited areas; the financing of public works with private resources, at no cost to the municipalities; the improvement of public and recreational areas; and the increase in the number of jobs and tax revenues for the municipalities. The Company has also relocated displaced communities without uprooting them and has provided social housing in adequately developed areas.

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3. Review the following table and discuss with the team how one or more management tools can be linked to the strategic project portfolio.

| TABLE B. Management instruments | | |
|---------------------------------|---|---|
| Ranking | Definition | Instruments |
| Strategic restructuring | Two or more organizations seeking to join together in pursuit of a shared objective results in a structural change or the creation of a new entity. | Fusion Subsidiary entities Joint Ventures |
| | | Administrative Consolidation |
| Alliances | These are more formal and structured forms of management than simple circumstantial collaboration, but they do not entail radical structural changes in the parties involved, which maintain their character as separate and distinct entities. | Association |
| | | Coalition |
| | | Commitment |
| | | Multi Sectoral working group |
| | | Administrative purposes, collection or programming |
| | | Organizations that work together towards a common goal, end up uniting into a single organization. |
| | | Organizations working together towards a common goal end up creating a new entity. |
| | | Organizations working together toward a common goal. |
| | | They usually serve and represent the interests of those involved, although this distinction is not universal. |
| | | Sharing a specific social or political change objective |
| | Impact purposes | The commitment integrates actions, specific activities, deadlines and responsible parties. |
| | | An institutional working group (intersectoral or multi-institutional formalized with the participation of actors from different sectors to achieve a particular objective working groups establish responsibilities and accountabilities and promote synergy and team |
| | | Used when two or more organizations unify part of their management structures in order to jointly make acquisitions, design their marketing strategies and/or train their personnel. |

T52 Governance Instruments Guide

| | | | | |
|---------------|--|--|-----------------------------------|--|
| | | | Fiscal sponsorship | An organization offers, usually for a contract and a fee, the use of its legal status and fiscal extension, and often also administrative support to groups dedicated to the same mission but lacking such status. |
| | | | Joint Programming | Used for the launching and joint management of one or more programs that meet the objectives of both parties. |
| | | | Joint ventures and profit sharing | organizations come together to manage an income-generating activity that benefits them all |
| | | | Coordinated action | Used for the elaboration of events |
| Collaboration | There are many ways to collaborate, and collaborations are not mutually exclusive. Organizations can and do collaborate with multiple organizations, often from multiple sectors, on a variety of initiatives. In fact, today more than ever, organizations must collaborate, both broadly and deeply, because that is what is needed to address the complex challenges we face. | | Joint lobbying | Used to promote legislation on relevant issues |
| | | | Collaborative learning | Used for joint coordination of training events |
| | | | Networks | Used to more effectively influence decision makers |

T52 Governance Instruments Guide

4. As a team, propose for the portfolio of strategic projects, the system of action that they consider ideal. Likewise, the management mechanisms consider the responsibilities and co-responsibilities established in the **Participatory Prioritization Workshop (Activity 36)**.

TABLE C. Proposed Management Instruments for the Strategic Project Portfolio

| Project | Description | Accountable | Responsible | Co-Responsible | Consulted or Informed | Actuation system | Management tool |
|---------------------------------------|---|--|--|---|-----------------------|------------------|--|
| Neighborhood Center (Nichupté Bridge) | This project consists of the integration of the Glorieta Antigua Torre de Control into the space designated as a green area to the north. Through the incorporation of proximity facilities (free first floor), the humanization of the public space and local commerce, it seeks to create incentives to attract the population and encourage activities of permanence in the vicinity. The project is defined based on the vocation of the existing space and enhances the area with consolidated vegetation. | AGEPRO (Agency for Strategic Projects) | <ul style="list-style-type: none"> Office of projects | <ul style="list-style-type: none"> State Secretariat of Sustainable Urban Territorial and Urban Development IMPLAN Municipal Secretariat of Ecology and Urban Development Municipal Secretariat of Public Works and Services State Secretariat of Public Works Municipal Secretariat of Public Safety and Transit | | Public-Private | <ul style="list-style-type: none"> Multi-sectoral working groups (PPPs) Neighborhood Network: Joint lobbying and coordinated action (citizen participation). |

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5. As a team, propose the ideal system of action for the lines of action. Also, propose the responsible and co-responsible actors using the results of the **Participatory Prioritization Workshop (Activity 36)**.

TABLE D. Proposed Management Instruments for the Lines of Action

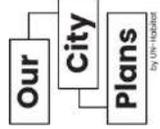
| Strategy | Line of action | Responsible | Co-responsible | Accountable | Consulted or Informed | Actuation system | Management tool |
|---------------------------------------|--|--|--|-------------|-----------------------|------------------|-------------------|
| Neighborhood Center (Nichupté Bridge) | 1.1 Urban intervention in the Glorieta Antigua Torre de Control. | AGEPRO (Agency for Strategic Projects) | <ul style="list-style-type: none"> State Secretariat of Sustainable Urban Territorial and Urban Development | | | Public | Joint programming |

T53 Action plan matrix

Instructions: 1. Complete the following table with the information proposed in the "Guidelines for instruments" for the action lines and strategies of the plan. Below is an example in red and below is a real example.

Example: Puente Nihupté Masterplan, México

| LÍNEA DE ACCIÓN Y PROYECTO | NOMBRE DEL PROYECTO | DEFINICIÓN | RESPONSABLES | COORDINADORAS | MECANISMO DE GESTIÓN | MECANISMO DE FINANCIAMIENTO |
|----------------------------|--|--|---|---|--|---|
| Corto plazo | | | | | | |
| 1.1b | Lineamientos urbanos para incentivar morfologías constructivas permeables, flexibles y seguras | Desarrollar lineamientos de diseño para promover parámetros que contribuyan a la resiliencia de fachadas activas, la vigilancia pasiva y la incorporación de usos mixtos del suelo. | Secretaría Estatal de Desarrollo Territorial Urbano Sustentable | Secretaría Municipal de Ecología y Desarrollo Urbano | Reglamentos y normas Coordinación y compromiso multisectorial grupo de trabajo multisectorial | Fondos multilaterales y agencias de cooperación internacional Presupuesto operativo de las dependencias involucradas |
| 1.2a | Facilitar trámites para la apertura de comercios y servicios de escala barrial | Esquema de ventanilla única para realizar adecuaciones a los procedimientos necesarios para la apertura de micro y pequeños comercios que cumplan con los lineamientos de morfologías permeables, flexibles y seguras. | Secretaría Municipal de Ecología y Desarrollo Urbano | Tesorería Municipal | Reglamentos y normas Coordinación y compromiso multisectorial grupo de trabajo multisectorial | Presupuesto operativo de las dependencias involucradas |
| 1.3b | Instalación y mejoramiento del alumbrado público priorizando entornos de equipamientos y espacios públicos | Crear un plan de instalación y mejoramiento de alumbrado público útil, priorizando zonas y senderos en turno a espacios públicos y equipamientos ubicados en la zona de influencia. | Secretaría Municipal de Obras Públicas y Servicios | Secretaría Estatal de Obras Públicas | Coordinación y compromiso multisectorial grupo de trabajo multisectorial | Presupuesto operativo de las dependencias involucradas Fondos y programas federales aplicables: Concepción municipal y cabecera de distrito Requisitos en centros de áreas prioritarias mediante instrumentos de gestión de suelo Asociaciones público-privadas. |
| Mediano plazo | | | | | | |
| 1.1a | Reducción de los requerimientos regulatorios de cajones de estacionamiento para el comercio | Reformular la normativa local para exigir máximos de estacionamiento, en lugar de mínimos en el caso de locales comerciales. Descentralizar la presencia de cajones de estacionamiento en los frentes de lote que obstaculicen la libre circulación de peatones o ciclistas. | Secretaría Municipal de Ecología y Desarrollo Urbano | Secretaría Municipal de Ecología y Desarrollo Urbano IMPLAN Secretaría Estatal de Desarrollo Territorial Urbano Sustentable | Reglamentos y normas Promoción/convocatoria en la agenda pública | Presupuesto operativo de las dependencias involucradas |
| 1.2a | Capacitación y formación empresarial para emprendedores de micro y pequeñas empresas, con énfasis en mujeres emprendedoras | Crear programas de capacitación y formación empresarial, principalmente para mujeres, que ayuden al crecimiento, fortalecimiento y desarrollo de micro y pequeñas empresas en la zona de influencia del Parque de la Equidad. | Secretaría Estatal de Desarrollo Económico | Secretaría de Economía (PRONAMA) Secretaría Municipal de Desarrollo Social y Económico Instituto Municipal de la Mujer | Coordinación y compromiso multisectorial grupo de trabajo multisectorial | Presupuesto operativo de las dependencias involucradas Fondos y programas federales aplicables Participación de organismos de la sociedad civil y sector privado Donaciones y contribuciones voluntarias |
| 1.2b | Financiamiento blando y preferente para negocios locales | Desarrollar y fortalecer esquemas de financiamiento blando y preferente para la consolidación y desarrollo negocios locales con potencial de crecimiento con preferencia a negocios liderados por mujeres. | Secretaría Estatal de Desarrollo Económico | Secretaría de Economía (PRONAMA) Secretaría Municipal de Desarrollo Social y Económico Instituto Municipal de la Mujer | Coordinación y compromiso multisectorial grupo de trabajo multisectorial | Presupuesto operativo de las dependencias involucradas Fondos y programas federales aplicables Patrocinios especializados Subsidios |
| 1.3a | Ampliación y fortalecimiento de las redes de agua y saneamiento | Elaborar planes operativos de agua y saneamiento para identificar necesidades de ampliación y fortalecimiento de las redes a través de la programación de obras y acciones de forma multianual | Comisión de Agua Potable y Alcantarillado | Secretaría Municipal de Obras Públicas y Servicios AguaSan | Coordinación y compromiso multisectorial grupo de trabajo multisectorial | Presupuesto operativo de las dependencias involucradas Fondos y programas federales aplicables: Fideicomiso para la infraestructura en los Estados (FIE) Impulsos municipales y otros: adirecos Asignaciones de centros de otras políticas mediante instrumentos de gestión de suelo Asociaciones público-privadas |
| 1.3c | Mejorar el servicio de luz en los hogares | Coordinar acciones con la Comisión Federal de Electricidad, para garantizar la cobertura y servicio eléctrico en la zona, tomando en cuenta las proyecciones de población y actividad económica del presente plan maestro. | Secretaría Estatal de Obras Públicas | Secretaría Municipal de Obras Públicas y Servicios CE | Coordinación y compromiso multisectorial grupo de trabajo multisectorial Reglamentos y normas | Participación de organismos de la sociedad civil y sector privado: En renovaciones nuevas, mantenimiento y operación, de modo que los desarrolladores incorporen tecnologías para el ahorro de luz |
| Largo plazo | | | | | | |
| 1.3d | Soterrar las líneas de alta tensión con la Comisión Federal de Electricidad | Promover el soterramiento de las líneas de alta tensión y la eliminación de las torres en las inmediaciones del Parque de la Equidad. | CE | Secretaría Estatal de Obras Públicas | Coordinación y compromiso multisectorial grupo de trabajo multisectorial Reglamentos y normas | Presupuesto operativo de las dependencias involucradas |
| 1.2c | Descuentos en pago de impuestos y derechos para comercios y servicios de escala barrial | Crear un esquema de descuentos, parciales en el pago de impuestos y derechos para micro y pequeños comercios que cumplan con los lineamientos de morfologías permeables, flexibles y seguras. | Tesorería Municipal | Secretaría Municipal de Ecología y Desarrollo Urbano | Reglamentos y normas Coordinación y compromiso multisectorial grupo de trabajo multisectorial | Presupuesto operativo de las dependencias involucradas |



T54 Monitoring and evaluation framework

Description

This tool guides the development of the indicator framework for the evaluation of the lines of action and strategic projects.

Participants

This task is carried out by the technical team.

Section 1. Indicators and evaluation framework for objectives, strategies and lines of actions

Instructions:

1. *Review the framework of objectives, strategies, lines of action, goals and actions. Adjust the goals set if necessary, taking into account the municipality's capacities for data collection, evaluation and monitoring. Use global agendas and frameworks as a reference to link them to the objectives and goals. Some of these are listed below:*
 - a. *New Urban Agenda*
 - b. *Sustainable Development Goals (Agenda 2030)*
 - c. *Voluntary National Reviews (VNRs) or Voluntary Local Reviews (VLRs)*
 - d. *Paris Agreement*
 - e. *Prosperous Cities Index (CPI)*
 - f. *Nationally Determined Contributions (NDCs)*
 - g. *National Action Plans (NAPs)*
 - h. *Sendai Framework*

2. *For each goal, define an indicator. These should be contextualized in a geographic space and time period. In addition, they should be:*
 - *Specific: detailed and concrete.*
 - *Measurable: that it can be measured whether the goal has been met or not.*
 - *Affordable: attainable.*
 - *Relevant: contributing to priorities.*
 - *Temporary: that has a period of time to be achieved.*

For its definition, it can be based on national official statistics indicators, indicators generated by the municipality itself or indicators provided by organizations or sources external to the government, such as academia, citizen observatories and other platforms.

Tip: *Indicators from the global agendas, such as the SDGs, should also be used as a reference to measure and compare progress. It is possible to define new indicators that allow for more specific monitoring of each target. However, these must be feasible to measure by the municipality, in terms of data collection and management capacities, otherwise they cannot be evaluated and it is more appropriate to choose another indicator. Reflection is needed:*

- *Is the indicator a priority?*
- *Has it been measured before, and is a baseline available?*
- *What could be the strategy for data collection?*

T54 Monitoring and evaluation framework

| | | | |
|-------------------|-------------|------------------|-----------------------------|
| Target | | | |
| Strategy | | | |
| Initiative | Goal | Indicator | Actions and projects |

3. For each indicator, define the following criteria:

| Criteria | Description |
|---|---|
| Goal | Goal associated with the initiative to be evaluated. |
| Indicator | The selected indicator may be associated with the impact of the result as well as with the process or management. |
| Unit of measure | Unit in which the indicator is measured. |
| Indicator source | Reference from where the indicator is obtained. It can be an institution or agency, as well as an agenda or global framework. |
| Alignment with the SDGs | If linked to any of the SDG indicators. |
| Institution in charge of data collection | Responsible for the data collection for the measurement of the indicator. This may be the municipality itself, a national government institution or another non-governmental entity. It may also include the creation of a new body, such as a citizen observatory. |
| Methodology/ formula for measuring the indicator | Formula or process by which the indicator is calculated. |
| Scale to location where it will be evaluated | It can be of a specific sector of the city, municipal, state, regional, etc. |
| Baseline | The baseline of the indicator before starting the implementation of the plan. This is important to compare before and after and to measure progress and impact. |
| Monitoring period | Periodicity with which the indicator is measured. It can be monthly, five-yearly, annually, etc. |
| Expected trend | The expected trend of the indicator once the course of action is achieved may be upward, downward or remain the same. |

Example:

| | |
|------------------|---|
| Goal | By 2030, 100% of the homes located in the area of influence of the Parque de la Equidad will have adequate drinking water, sanitation and electricity coverage. |
| Indicator | Inhabited private dwellings that have electricity, piped water from the public network and drainage. |

T54 Monitoring and evaluation framework

| | |
|---|--|
| Unit of measure | % of dwellings |
| Indicator source | Agenda 2030 - SDG 1 |
| Alignment with the SDGs | SDG 1.4.1 |
| Institution in charge of data collection | National Institute of Statistics and Geography (INEGI) (Population and Housing Census) |
| Methodology/formula for measuring the indicator | =private inhabited dwellings with electricity, public water and sewerage/total dwellings |
| Scale to location where it will be evaluated | Housing within the area of influence (5 blocks around) of the Parque de la Equidad. |
| Baseline | According to the 2020 Census, there are 66,050 dwellings in the area of influence, of which 57,728 have service coverage. Therefore, 87.40% of the total housing stock has basic service coverage. |
| Monitoring period | 5 years (National Census) |
| Expected trend | Increase |

T54 Monitoring and evaluation framework

Section 2. Indicators for strategic projects

Instructions:

1. Review, according to the programming and strategic project sheets (project portfolio), the specific objectives and components for each one of them, established in Block H Project Programming.
2. For each specific objective of each strategic project, define the set of indicators, using the above framework (table). A basic template is included below. At least one indicator should be used for each type of objective: technical, social and environmental/climate change.

PROJECT TITLE: _____

| | |
|---|--|
| Specific objective | |
| Indicator | |
| Unit of measure | |
| Indicator source | |
| Alignment with the SDGs | |
| Institution in charge of data collection | |
| Methodology/formula for measuring the indicator | |
| Scale to location where it will be evaluated | |
| Baseline | |
| Monitoring period | |
| Expected trend | |

T54 Monitoring and evaluation framework

Summary matrix of indicators

Instructions:

1. *Organize all the indicators of the monitoring and evaluation framework, corresponding to the lines of action and strategic projects, in a final matrix. Use tool H55 Indicator summary matrix.*

Section 4. Monitoring and evaluation strategy (Linked to Activity 47 Monitoring and Evaluation Strategy)

In addition to defining indicators with which to evaluate the progress of the plan and its strategic projects, it is important to define a monitoring strategy, which establishes how, when, and who will have this responsibility. This should also take into account the capacities of the municipality and the information available.

Instructions:

1. *Identify interested social groups for monitoring and follow-up, including NGOs, civil organizations, observatories, community groups, or any social group that represents the people benefited by the plan's actions and projects.*
2. *Based on the indicator frameworks developed in the previous steps, develop a roadmap for tracking indicators within the monitoring and evaluation framework. This should also include the institution or area in charge of monitoring each indicator.*
3. *Define a communication strategy, socialization and participation mechanisms for monitoring and evaluation. This should include communicating in a transparent manner on the progress and evaluation of the plan's implementation. It is important to involve citizens during this process and provide mechanisms and information so that they can demand accountability from the responsible agencies.*

T56 Resource Mobilisation Plan for implemer

Description

This comprehensive tool provides an end-to-end framework for resource mobilization during the implementation of various projects and initiatives. It encompasses a multi-sheet Excel document that categorically outlines each element of the resource landscape, from initial objectives and inventories to gap analyses and action plans. The tool covers a broad scope, detailing resource types, quantities, origins, and eligibility requirements. It also provides timelines, identifies responsible parties, and proposes strategies for securing missing resources. The plan is further enhanced with sections dedicated to stakeholder information, potential funding and support mechanisms, and a robust system for ongoing monitoring and review. This is designed to facilitate better planning, efficient mobilization, and effective management of both internal and external resources, thus ensuring successful project implementation.

Participants

This task is carried out by the technical team.

| | |
|------------------|---|
| Objective | A brief statement about the purpose of the resource mobilization plan |
| Scope | What projects or activities does this plan cover? |
| Duration | The timeline for the plan. |

T57 Implementation Work Plan

* The tool consists of 4 spreadsheets

Description

This tool details the work plan for the plan implementation process. Individual strategies are defined for each of the projects, including responsibilities, resources required, dates and timelines, expected results, predictable costs or expenses and likely risks.

Participants

This task is carried out by the technical team.

Section 1. Individual project/action line work plan

1. Define the work plan strategy for each project to be implemented. To do so, first review the activity on **Developing strategic project worksheets (Activity 38)** and the **Action Plan (Activity 44)** and then complete the following table.

Title of the project/action line:

Tip: Repeat this table for each project or action line.

| | | |
|-------------------------------------|--|-----------------------------|
| Category: | Tip: <input type="checkbox"/> Project <input type="checkbox"/> Line of action <input type="checkbox"/> Other: | |
| Location: | Responsible/corresponsible body: General: | |
| Start Date/ duration: | Activity: | |
| | Activity: | |
| Delivery Deadlines: | Activity: | |
| | Estimated costs | |
| | Quantity | Concept/Name of expenditure |
| | | |
| | | |
| Milestones: | | |
| Date: Activity: | | |
| | | |
| Frequency: | | |
| Date: Activity: | | |
| | | |
| Frequency: | | |
| Date: Activity: | Likely risks: | |
| | Risk: | Mitigation strategy: |
| Frequency: | | |
| Date: Activity: | | |
| | | |
| Frequency: | | |
| Date: Activity: | | |
| | | |
| Frequency: | | |

2. Gather all the individual strategies together, grouping them and thus forming the implementation work plan.



* Go to spreadsheet 2. Implementation calendar



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T58 Environmental and social impact control matrix

Description: The control matrix aims to observe the environmental and social risks and impacts of the project/programme, as well as to ensure that the mitigation measures foreseen in the various plans and reports developed in the environmental and social strategy are implemented.

Participants: This document is prepared by the project manager and the preliminary technical team, to the extent possible, with the team in charge of developing the environmental and social impact strategy.

Step 1. Complete the policy and legislative tracking matrix.

Instructions:

1. Complete the follow-up matrix on regulatory and legislative issues based on the following specificities:

| Column name | Content description |
|-----------------------------------|--|
| Phase | Phase of the project/programme in or through which a certain requirement must be fulfilled (construction phase, operation phase or construction and operation phase); |
| Name of requirement | Briefly state the focus of the requirement; |
| International standard | The rule or regulation in which the requirement originates (if the source refers to a national regulation, this column will remain empty and only the following column will be completed); |
| Legal and regulatory requirements | The national standard or regulation in which the requirement originates (if the source refers to an international standard, this column will remain empty); |
| Control or audit | Institution or person checking or auditing, indicating who is responsible for ensuring compliance; |

T59 Feedback Strategy

Description

The purpose of this tool is to support the feedback and socialization strategy of the urban planning process, by defining the different communicative actions during the plan implementation process.

Participants

This plan is developed by the technical team and the implementation team. If there are implementing partners in the participatory process (e.g., NGOs or community groups), they should be involved in the development of this plan to provide input on their capacities.

Instructions

Section 1. Listing of all communication actions.

1. According to the socialization, feedback and learning strategy defined, complete the following table with all the communication actions to be carried out that have been detected. While doing so, validate the information of each activity with the Action Plan (Activity 44) and the Work Plan (Activity 50) to provide relevant inputs.

1. LIST OF COMMUNICATION ACTIONS

Tip: List all necessary communication actions previously identified.

| | |
|--|--|
| Name: Date and time: Responsible: | Type of communication: <input type="checkbox"/> Public <input type="checkbox"/> Private Audience: <input type="checkbox"/> Councils <input type="checkbox"/> Technical Experts <input type="checkbox"/> Community <input type="checkbox"/> General Public <input type="checkbox"/> Other Stakeholders: |
| Name: Date and time: Responsible: | Type of communication: <input type="checkbox"/> Public <input type="checkbox"/> Private Audience: <input type="checkbox"/> Councils <input type="checkbox"/> Technical Experts <input type="checkbox"/> Community <input type="checkbox"/> General Public <input type="checkbox"/> Other Stakeholders: |
| Name: Date and time: Responsible: | Type of communication: <input type="checkbox"/> Public <input type="checkbox"/> Private Audience: <input type="checkbox"/> Councils <input type="checkbox"/> Technical Experts <input type="checkbox"/> Community <input type="checkbox"/> General Public <input type="checkbox"/> Other Stakeholders: |
| Name: Date and time: Responsible: | Type of communication: <input type="checkbox"/> Public <input type="checkbox"/> Private Audience: <input type="checkbox"/> Councils <input type="checkbox"/> Technical Experts <input type="checkbox"/> Community <input type="checkbox"/> General Public <input type="checkbox"/> Other Stakeholders: |
| Name: Date and time: | Type of communication: <input type="checkbox"/> Public <input type="checkbox"/> Private |

T59 Feedback Strategy

| | |
|--|---|
| Responsible: | Audience: <input type="checkbox"/> Councils <input type="checkbox"/> Technical Experts <input type="checkbox"/> Community <input type="checkbox"/> General Public <input type="checkbox"/> Other Stakeholders: |
| Name: Date and time: Responsible: | Type of communication: <input type="checkbox"/> Public <input type="checkbox"/> Private Audience: <input type="checkbox"/> Councils <input type="checkbox"/> Technical Experts <input type="checkbox"/> Community <input type="checkbox"/> General Public <input type="checkbox"/> Other Stakeholders: |
| Name: Date and time: Responsible: | Type of communication: <input type="checkbox"/> Public <input type="checkbox"/> Private <input type="checkbox"/> Public <input type="checkbox"/> Private Audience: <input type="checkbox"/> Councils <input type="checkbox"/> Technical Experts <input type="checkbox"/> Community <input type="checkbox"/> General Public <input type="checkbox"/> Other Stakeholders: |
| Name: Date and time: Responsible: | Type of communication: <input type="checkbox"/> Public <input type="checkbox"/> Private <input type="checkbox"/> Public <input type="checkbox"/> Private Audience: <input type="checkbox"/> Councils <input type="checkbox"/> Technical Experts <input type="checkbox"/> Community <input type="checkbox"/> General Public <input type="checkbox"/> Other Stakeholders: |

Socialization and communication strategy.

1. In accordance with the socialization, feedback and learning strategy, complete the following table for each communication action of the implementation process that has been previously identified as necessary. While doing so, validate the information for each activity with the **Action Plan (Activity 45)** and the **Implementation Work Plan (Activity 51)** to provide relevant inputs.

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

2. COMMUNICATION ACTION (name)..... Tip: Repeat the following table for each communication action.

| | |
|-------------------------------|--|
| Target: | Date and time: |
| | Responsible(s): |

Audience: Councils Technical Experts Community General Public Other Stakeholders:



T59 Feedback Strategy

Frequency: One-time Weekly Monthly Quarterly Semi-annually Yearly Other:

Communication channel(s): Face-to-face Telephone E-mail Social networks
 Posters Web Events Radio Audiovisual (TV) Print (newspapers and magazines) Posters Posters Other(s):

Materials needed

List all materials needed for the activity. *Tip: think about the materials to be developed (graphics, audios, social media account/pages).*

1.
2.
3.
4.
5.
6.

Target audience: *(key population groups or stakeholders)*

.....

Content

Define what information to convey to the audience and how to do it

.....

T59 Feedback Strategy

.....

.....

.....

.....

.....

2. Fill in the following table with the lessons learned from the interaction with the different stakeholders to strengthen the team's capabilities and possible future projects, plans and planning processes.

| Extracted learning <i>What are the main lessons learned from communication with the various stakeholders involved in the plan or project?</i> | Application strategy <i>How can these learnings be implemented in future planning processes, plans or projects?</i> | Comments |
|---|---|-----------------|
| | | |
| | | |
| | | |
| | | |

T60 Methodological Evaluation

Send to: <https://ourcityplans.unhabitat.org/contact>

Send the methodological evaluation to the UN-Habitat Our City Plans team in order to reinforce the learning from the different experiences and, through collective knowledge, achieve a more complete and adjusted methodology in future editions.

General comments on methodology

Insert comments, suggestions, adaptations and additions that you consider relevant to this methodology.

| Phase-Block | Block Name | Block Comments <i>Insert comments, suggestions, adaptations and additions that you consider relevant to this block.</i> | Activities <i>Insert any comments, suggestions, adaptations and additions that you consider relevant to this activity and the tools it contains.</i> |
|---------------|---------------------------------|--|---|
| 1. ASSESSMENT | A Contextualisation | | A1. Human and Physical Resources Review |
| | | | A2. Legal Resources Review |
| | | | A3. Financial Resources Review |
| | | | A4. Scheduling the planning process |
| | B Project Preparation | | B5. Guiding Document |
| | | | B6. Environmental and Social Development Impact Plan for the Planning Process |
| | | | B7. Resource Mobilisation and Project Office |
| | | | B8. Participation and Committees Formation |
| | C Participation Set-Up | | C9. Participation Plan |
| | | | C10. Communication Strategy |
| | | | C11. Public Launch of the Planning Process |
| | | | D12. Desk Research |
| | C Analysis & Diagnostic | | D13. Field Research |
| | | | D14. Analysis |
| | | | D15. Analysis Validation and Diagnostic Workshop |
| | | | D16. Diagnostic |
| | E Strategic Development Plan | | E17. Strategic Visioning Workshop |
| | | | E18. Monitoring and Evaluation Framework |
| | | | E19. Spatialisation of the Strategic Vision |
| | | | E20. Sustainable Development Structure |
| | | E21. Spatial Strategy | |
| | | E22. Environmental and Social Impact Strategy for the City Plan | |
| | | E23. Strategic and Catalytic Projects Workshop | |
| | | E24. Pre-operationalisation Plan | |

T60 Methodological Evaluation

Send to: <https://ourcityplans.unhabitat.org/contact>

Send the methodological evaluation to the UN-Habitat Our City Plans team in order to reinforce the learning from the different experiences and, through collective knowledge, achieve a more complete and adjusted methodology in future editions.

General comments on methodology
Insert comments, suggestions, adaptations and additions that you consider relevant to this methodology.

| Phase-Block | Block Name | Block Comments | Activities | Activities and associated tools comments |
|-----------------------|----------------------------------|---|---|--|
| 2. PLAN | F Land Management Plan | | E25. Public Hearing | |
| | | | F26. Land Use and Regulatory Directives | |
| | | | F27. Sectoral Plan | |
| | | | F28. Land Development Strategy | |
| | | | F29. Public Hearing | |
| | G Neighbourhood Plan | | G30. Neighbourhood Plan Preparation | |
| | | | G31. Detailed Data Gathering and Analysis | |
| | | | G32. Neighbourhood Planning Workshop | |
| | | | G33. Neighbourhood Plan and Design | |
| | | | G34. Neighbourhood Projects and Interventions | |
| 3. OPERATIONALISATION | H Programming | | G35. Neighbourhood Public Hearing | |
| | | | H36. Project Prioritisation | |
| | | | H37. Project Programming and Preparation | |
| | | | H38. Project Programming Workshop | |
| | | | H39. Project Feasibility Study | |
| | I Land Management | | I40. Land Administration and Information | |
| | | | I41. Land Rights | |
| | J Financial Enablers | | J42. Financial Mechanisms | |
| | | | J43. Capital Investment Plan | |
| | K Governance & Legal Enablers | | K44. Institutional Arrangement | |
| | | K45. National and Sub-national Urban Legal Framework | | |
| L Action Plan | | L46. City Action Planning Workshop | | |
| | | L47. Public Hearing and Presentation of the Action Plan | | |
| | | M48. Accountability System | | |

T60 Methodological Evaluation

Send to: <https://ourcityplans.unhabitat.org/contact>

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General comments on methodology

Insert comments, suggestions, adaptations and additions that you consider relevant to this methodology.

| Phase-Block | Block Name | Block Comments | Activities | Activities and associated tools comments |
|-------------------|------------------------------|----------------|--|--|
| 4. IMPLEMENTATION | M Implementing Mechanisms | | M49. Gestión de proyectos M50. Plan de trabajo M51. Implementación | |
| | N Accountability System | | N52. Monitoring and Evaluation N53. Advocacy, Feedback and Learning Mechanisms N54. Incremental Improvements | |

T61 Risk response options

Description

This tool is used to prepare a checklist of possible risk response options based on prior identification of hazards and their potential impacts, considering urban planning objectives and goals.

Participants

This activity is carried out by the technical team, the advisory board, the board of directors and other stakeholders.

| Term | Definition |
|-------------------------|--|
| Prospective management | <i>Those actions focused on planning to avoid the occurrence of disasters in the future.</i> |
| Corrective management | <i>Those actions focused on eliminating or reducing disaster risks that are already present and must be reduced immediately.</i> |
| Compensatory management | <i>Those actions focused on the capacity to respond to a disaster, including preparedness and recovery actions.</i> |

Instructions

Formulate a long list of possible risk response options.

1. Identify the main hazards and the primary and secondary impacts. The application of [T17 Impact chain diagram](#), [H16 Participatory incremental mapping \(PIM\)](#) and [T20 Vulnerability assessment](#) can facilitate the identification of the different hazards.
2. Identify at least one possible option for disaster risk response. Disaster risk response options encompass a wide number of possibilities including actions, policies, strategies and programs to increase adaptive capacity through physical transformation/conservation of the built and natural environment and through strengthening social and institutional response and capacities to cope with impacts.
3. Subsequently, the last column referring to the type of management, whether it is prospective corrective or compensatory management, must be filled in. It is recommended that for each threat at least 1 response option related to each type of management be included.

T61 Risk response options

| Risk identified | Primary and secondary impacts | Risk response options | | |
|-------------------|---|-----------------------|--|--------------------|
| | | No. | Options | Type of management |
| Drought | Reduction of water supply. | 1.A | Water management plan | Prospective |
| | | 1.B | Infrastructure improvement and repair (e.g., reservoirs) | Prospective |
| | Increased health risks due to lack of water. | 1.C | Water conservation and awareness programs. | Prospective |
| | | 1.D | Rainwater harvesting | Prospective |
| | | 1.E | Recharge of aquifers | Prospective |
| | | 1.F | Expand or create new water reservoir capacity. | Prospective |
| | | 1.G | Minimize system leakage and other water losses (e.g. evaporation from surface tanks) | Corrective |
| | | 1.H | Have water pipes ready in case of drought emergency. | Compensatory |
| Landslides | Destruction of housing | 2.A | Add the topic of landslides to the disaster prevention and risk reduction campaign. | Prospective |
| | | 2.B | Stone barriers adjusted to contour lines to reduce landslides in at-risk highway areas. | Corrective |
| | Road obstruction | 2.C | Retention meshes in areas adjacent to transportation routes in landslide/landslide risk areas. | Corrective |
| | Destruction of public and private infrastructure. | 2.D | Have a civil protection team ready to attend to the landslide/landslide area. | Compensatory |

T62 Resilience Initiatives for the City

Description

This tool defines the process of how, based on the identified risk response options and using a resilience framework, specific resilience initiatives for the city can be developed.

Participants

This activity is carried out by the technical team, the advisory board, the board of directors and other stakeholders.

Step 1. Identification of sectors linked to the response options

1. Using as a baseline the results of the list elaborated in tool [T61 Risk Response Options](#), we will start with the categorization of these options through different sectors relevant to the city's development. Sectors can be selected and defined according to the characteristics of the city and considering the natural and climate risks in the city that had been previously identified. The following table shows an example of possible sectors that can be used or adapted for categorization:

| Sectors linked to natural hazards and their prevention | | | | | | | |
|--|---------------|------------------------------------|--------------|--------------|---------------|-----------------------------------|--------------------|
| <i>Construction and housing</i> | <i>Energy</i> | <i>Mobility and transportation</i> | <i>Waste</i> | <i>Water</i> | <i>Health</i> | <i>Employment and livelihoods</i> | <i>Environment</i> |

Note: These sectors may be defined through participatory processes or they may be previously selected by the technical team and subsequently validated through a participatory process.

2. Once the sectors have been identified, the [T61 Risk Response Options](#), inputs are listed under each of the selected sectors. The number of response options may vary between each selected sector.

T62 Resilience Initiatives for the City

| Sectors | | |
|---|--|--|
| Construction and housing | Mobility and transport | Water |
| Infrastructure improvement and repair (e.g., reservoirs) | Curved stone barriers for landslide mitigation in hazardous highway areas | <i>Water management plan</i> |
| Add the topic of landslides to the disaster prevention and risk reduction campaign. | Retention meshes in areas adjacent to transportation routes in landslide/landslide risk areas. | Water conservation and awareness programs. |
| Have a civil protection team ready to attend to the landslide disaster area. | Stone barriers adjusted to contour lines to reduce landslides in at-risk highway areas. | Rainwater harvesting |
| | | Recharge of aquifers |
| | | Expand or create new water reservoir capacity. |
| | | Have water pipes ready in case of drought emergency. |
| | | Minimize system leakage and other water losses (e.g. evaporation from surface tanks) |

T62 Resilience Initiatives for the City

Step 2. Assessment of identified sectors linked to resilience components.

To obtain a comprehensive analysis of the identified sectors in terms of Disaster Risk Reduction and Climate Change (DRR & CC) a City Resilience Framework can be used. This framework is constituted by the following components: policy and legislation, urban plans, institutional arrangements, finance and interventions.

- For each identified sector, assess the degree of integration of Climate Change and Disaster Risk elements in each component, weighting from 1 to 3 according to the following table:

| Components | Grade:1 | Grade: 2 | Grade: 3 |
|-----------------------------------|--|---|---|
| <i>Policy and legislation</i> | <i>There are some policies, strategies or ordinances that regulate DRR & CC in the sector, but they are quite insufficient.</i> | <i>DRR & CC elements are taken into account in the sector, but relevant policies and legislation need to be improved.</i> | <i>There are policies and laws in place that adequately regulate DRR & CC in this sector.</i> |
| <i>Urban plans</i> | <i>DRR and CC are not sufficiently addressed in the current urban policies or development plan; > There is currently no urban planning for the city.</i> | <i>Existing urban plans address CC & DRR in this sector; however, they need to be improved.</i> | <i>DRR & CC are sufficiently incorporated in the city's main urban development plans.</i> |
| <i>Institutional Arrangements</i> | <i>There is no department, specialized institution or focal person clearly assigned to manage DRR & CC within this sector identified at the municipal/local level.</i> | <i>One or more municipal departments, specialized institutions or contact persons are responsible for dealing with DRR & CC in this sector, but with insufficient capacity.</i> | <i>Roles/responsibilities of different departments/institutions are clearly defined to address DRR & CC in this sector at the city level, with sufficient capacity.</i> |
| <i>Finance</i> | <i>There is very little budget allocated to manage DRR & CC in this sector at the local level, and existing financial mechanisms are clearly insufficient.</i> | <i>The budget available to deal with CC and DRR exists, but it is not clear how it is spent and the financial mechanisms in place are still weak.</i> | <i>The available budget allocated to DRR and CC in this sector is sufficient and there are adequate financial mechanisms in place.</i> |
| <i>Interventions</i> | <i>Very little is currently being implemented to address DRR & CC in this sector.</i> | <i>There are few projects/interventions that address DRR & CC in this sector, but there is need for more.</i> | <i>There are sufficient/ appropriate projects/ interventions planned or underway to address DRR & CC in this sector.</i> |

T62 Resilience Initiatives for the City

The following example illustrates low performance in the "construction and housing" and "water" sectors. In the construction and housing sector, deficiencies are observed in local policies and disaster risk reduction regulations, along with insufficient attention in the urban plans to potential risk factors for the housing infrastructure. Similarly, both the "finance" and "interventions" aspects score poorly for the construction and housing sector. This suggests improving and developing financial tools and physical measures that enhance disaster and climate change resilience within this sector.

The total points can be weighted to identify which sector needs more actions and prioritization. A lower score represents a major need to incorporate Disaster Risk Reduction and Climate Change elements in the sector. In this example, the construction and housing sector needs to implement more ambitious actions to increase its overall resilience.

| Sectors related to natural risks and prevention | Components of the resilience framework | | | | | |
|---|--|-------------|----------------------------|---------|---------------|-------|
| | Policies and legislation | Urban Plans | Institutional Arrangements | Finance | Interventions | Total |
| Construction and housing | 1 | 1 | 2 | 1 | 1 | 6 |
| Water | 2 | 1 | 2 | 2 | 1 | 8 |
| Mobility and Transportation | 3 | 3 | 2 | 2 | 2 | 12 |

T62 Resilience Initiatives for the City

Step 3. Generating resilience initiatives

4. The identified sectors can be used to create the initiatives (according to **Activity 22 Formulation of Strategies and Initiatives**), since they are used to link both the response options and those components of the resilience framework evaluated with lower scores that need to be addressed. The response options and relevant components to be addressed are taken up as final actions to be implemented.
5. It should be noted that the process of creating the strategy is flexible, so it is not necessary to use all the response options identified in the tool, and different components and response options can be merged into a single action.
6. Finally, new actions based on the results of both, the risk response options and the resilience framework, can be added, thus providing more comprehensive action lines. In further stages, the prioritization of actions can be assessed based on specific criteria linked to their technical feasibility, urgency, and cost.

Objective: City resilient to natural hazards

| | | |
|--|--|--|
| Strategy | To strengthen urban resilience, guaranteeing the development and protection of people, infrastructure, and economic activities through disaster risk reduction and climate adaptation actions. | |
| Initiatives (By Sector) | Goal | Actions (Risk Response options + Resilience Components) |
| Increase the resilience of urban infrastructure and housing to disasters and climate change through urban public policy and sustainable planning (<i>Construction and housing sector</i>). | By 2025, at least three instruments in the legislative and urban planning framework will include elements to strengthen housing in the face of climate change and disaster risk. | <ol style="list-style-type: none"> 1. Strengthen the issue of resilient housing in the city's development plans. 2. Increase technical standards to create buildings that are resilient to natural hazards (e.g., landslides and high temperatures). 3. Create a local disaster fund that includes a process for mobilizing funds for repairing the housing sector in case of a disaster. |
| Strengthen water resilience in areas with greater vulnerability to drought risk (<i>Water sector</i>). | By 2030, there will be a comprehensive and zoned strategy to increase water resilience with a focus on addressing drought impacts. | <ol style="list-style-type: none"> 1. Create a water management plan that includes conservation and water use awareness programs. 2. Implement a rainwater harvesting program. 3. Have water pipes ready in case of drought emergency. |

T62 Resilience Initiatives for the City

| | | |
|---|--|---|
| | | <ol style="list-style-type: none"> 4. Minimize system leakage and other water losses (e.g. evaporation from surface tanks) |
| <p>To reduce the vulnerability of the transportation and mobility sector to disaster risks (<i>Mobility and transportation sector</i>).</p> | <p>By 2040, 80% of the areas identified with the highest risk of landslides will have protective networks or barriers.</p> | <ol style="list-style-type: none"> 1. Activate a program for the implementation of anti-landslide barriers and networks on roads and highways with high vulnerability to landslides. |

T63 Land Strategies Guide

Description This tool guides the development of specific land strategies and corresponding initiatives according to the definition of key territorial systems in the city.

Participants This activity is carried out by the technical team and validated with the advisory committee. Results are also validated and complemented in a participatory activity with the broader community.

Instructions

Part 1. Territorial systems, land strategies and initiatives

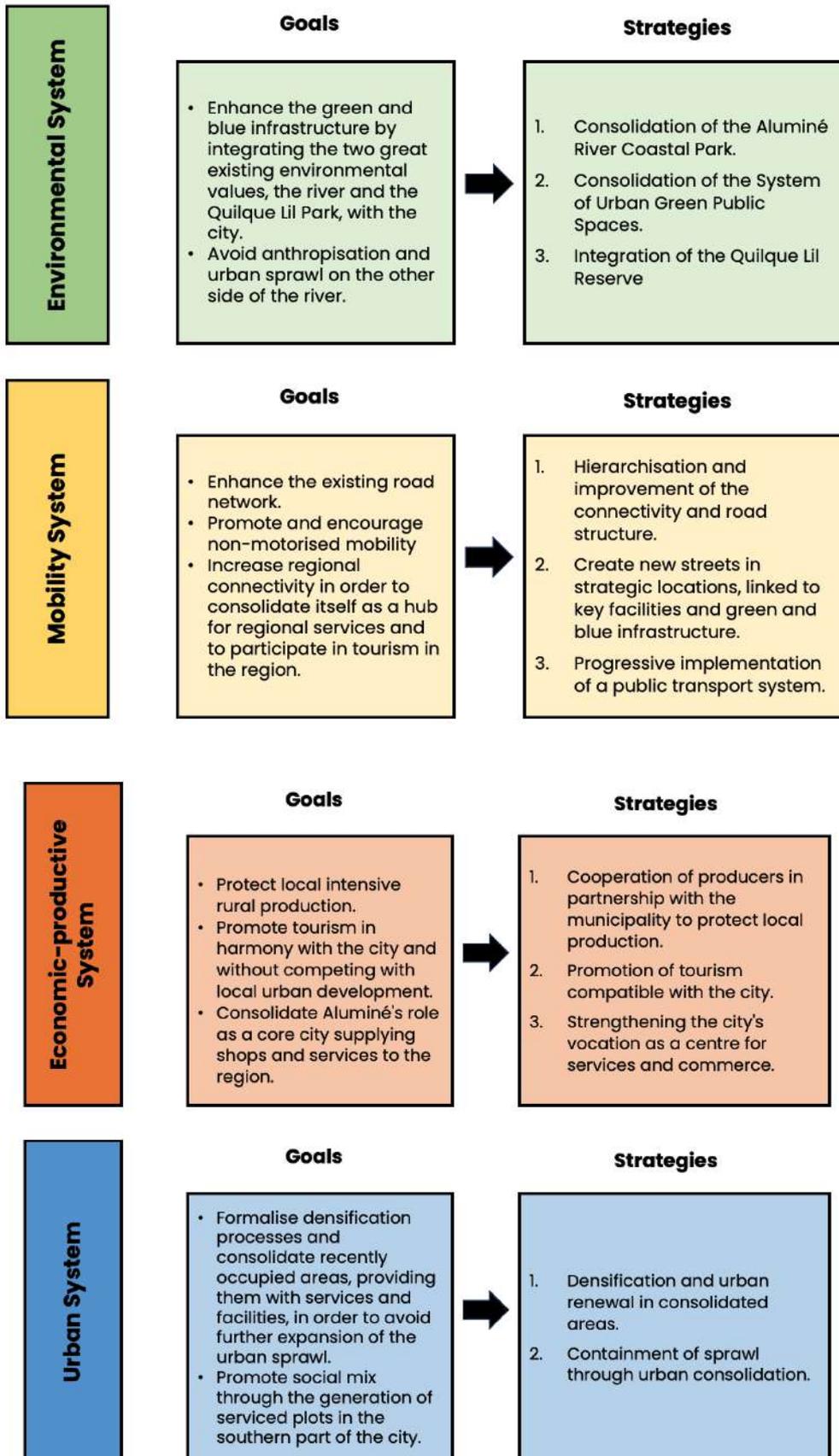
1. *Review the results from Block D Analysis and Diagnosis. According to the key thematic areas defined in the identification of challenges and opportunities for the city, define the key territorial systems, such as:*
 - a. *Environmental System*
 - b. *Mobility System*
 - c. *Urban System*
 - d. *Economic-productive System*

Tip: *If Block E has been developed, also review the results from the Strategic Visioning Workshop (Activity 18), Spatialisation of the Strategic Vision (Activity 19), Urban Development Structure (Activity 20) and Development Zones (Activity 21). The key territorial systems should be linked to the Goals identified in the strategic vision. The territorial systems will vary according to the context and characteristics of the city. For example, a city with high cultural value such as historical centres, cultural heritage, etc. might consider adding a Cultural System; a city that presents high risk areas, might consider a Risk Reduction system.*

2. *Define goals for each of the systems, responding to the challenges identified.*
3. *Define specific spatial/territorial strategies for each of the systems, responding to the goals established. Strategies are statements that are part of a roadmap that will contribute to achieve the defined goals. These provide more details on how to develop each specific goal. The strategies must be comprehensive and respond to the challenges and needs identified before, as well as be congruent with the municipality's capacity for action.*

Example: Aluminé, Argentina

T63 Land Strategies Guide



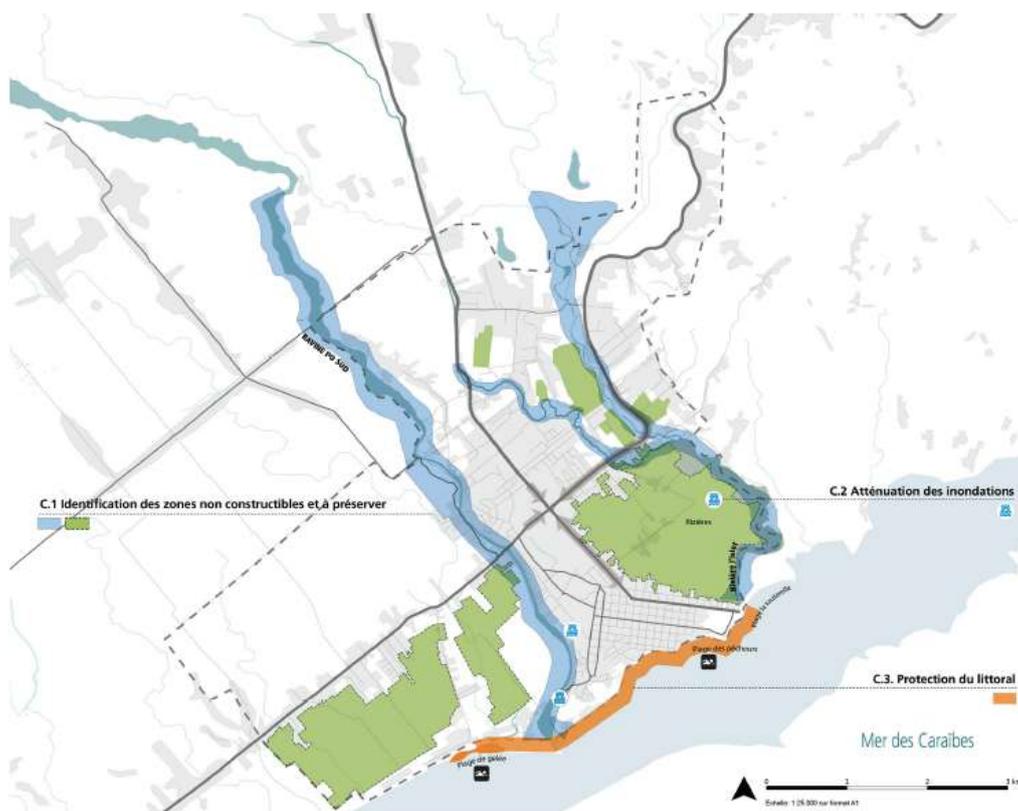
T63 Land Strategies Guide

4. Define specific initiatives for each of the strategies. These are more specific actions, projects, programs, normative instruments that ground the strategies in a more limited territorial scope and purpose, in an identified time bound.
5. Create a map for each of the systems, consolidating all the territorial strategies and initiatives.

Tip: See also [T24 Strategy Formulation Guide](#) from **Formulation of Strategies and Initiatives (Activity 22)** for more references.

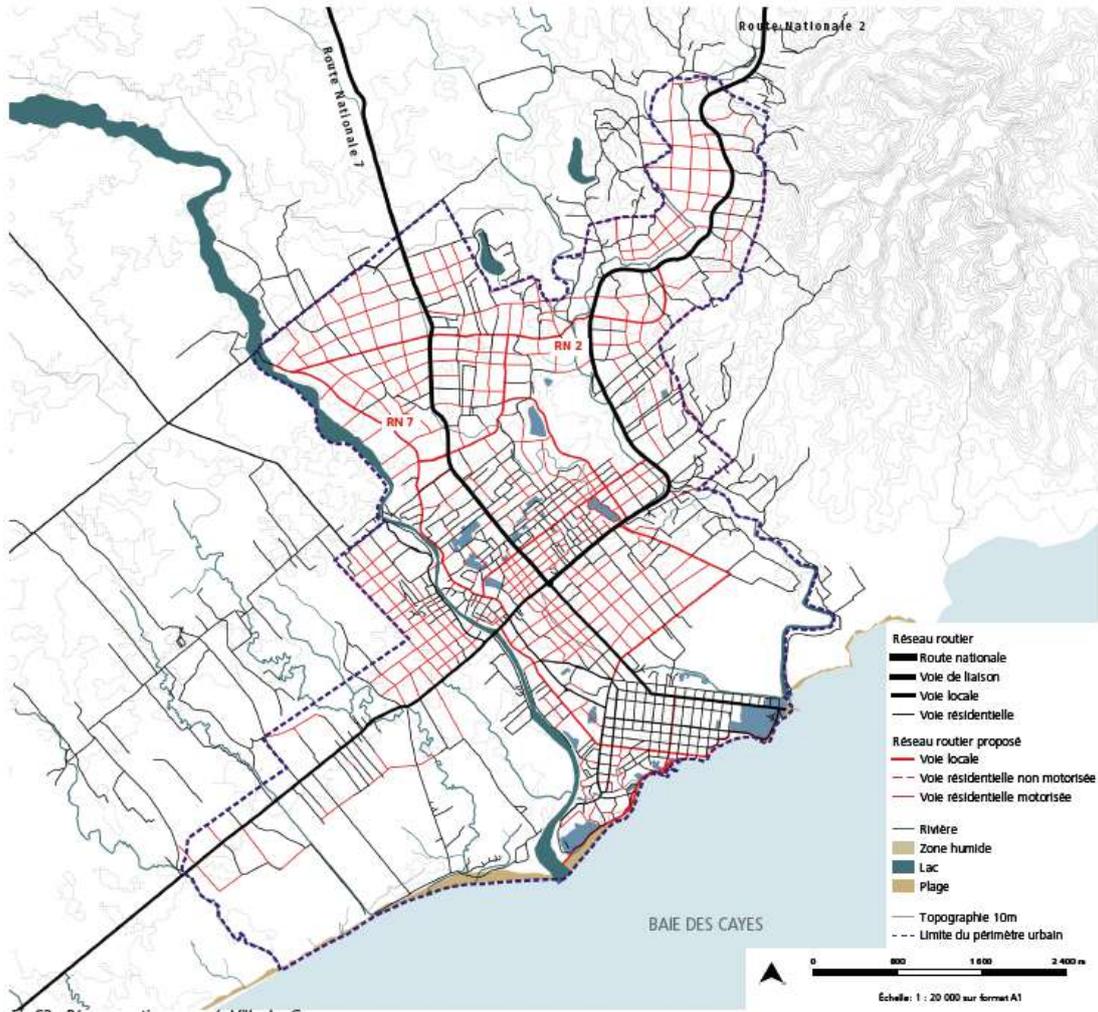
Example [Les Cayes, Haiti](#)

Environmental System



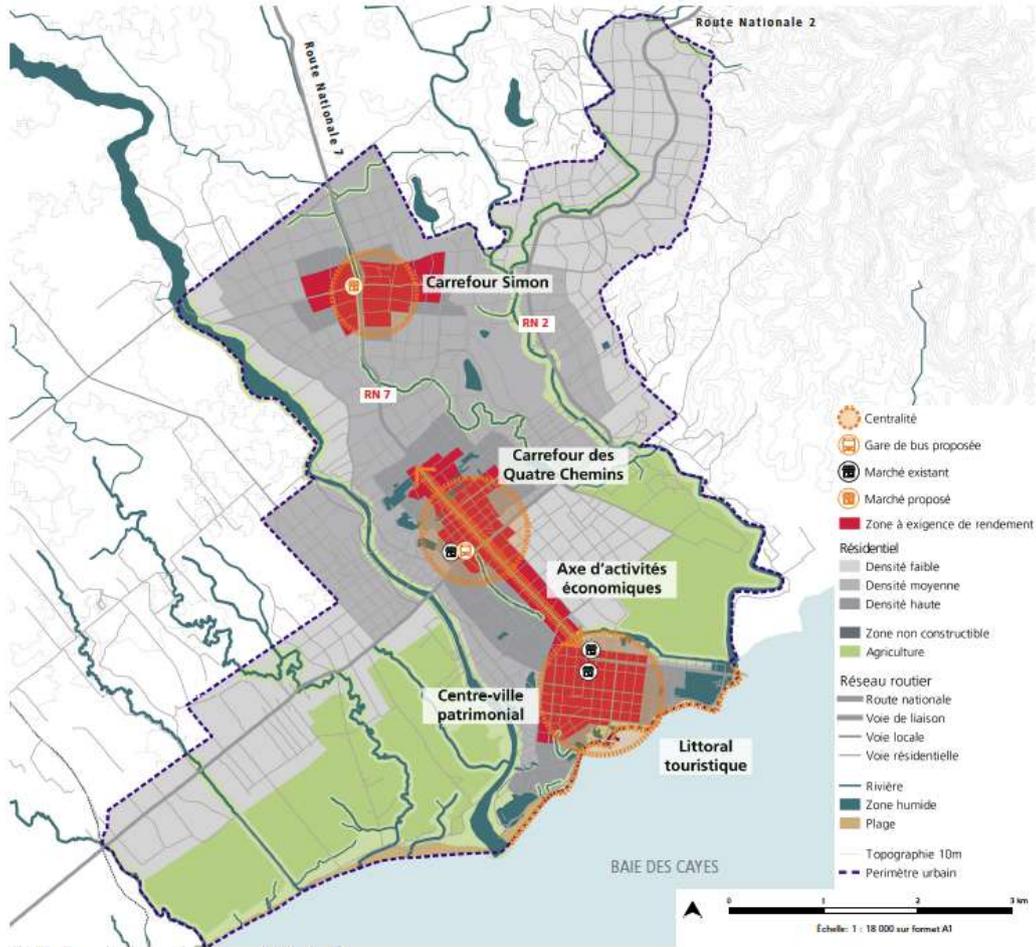
Mobility System

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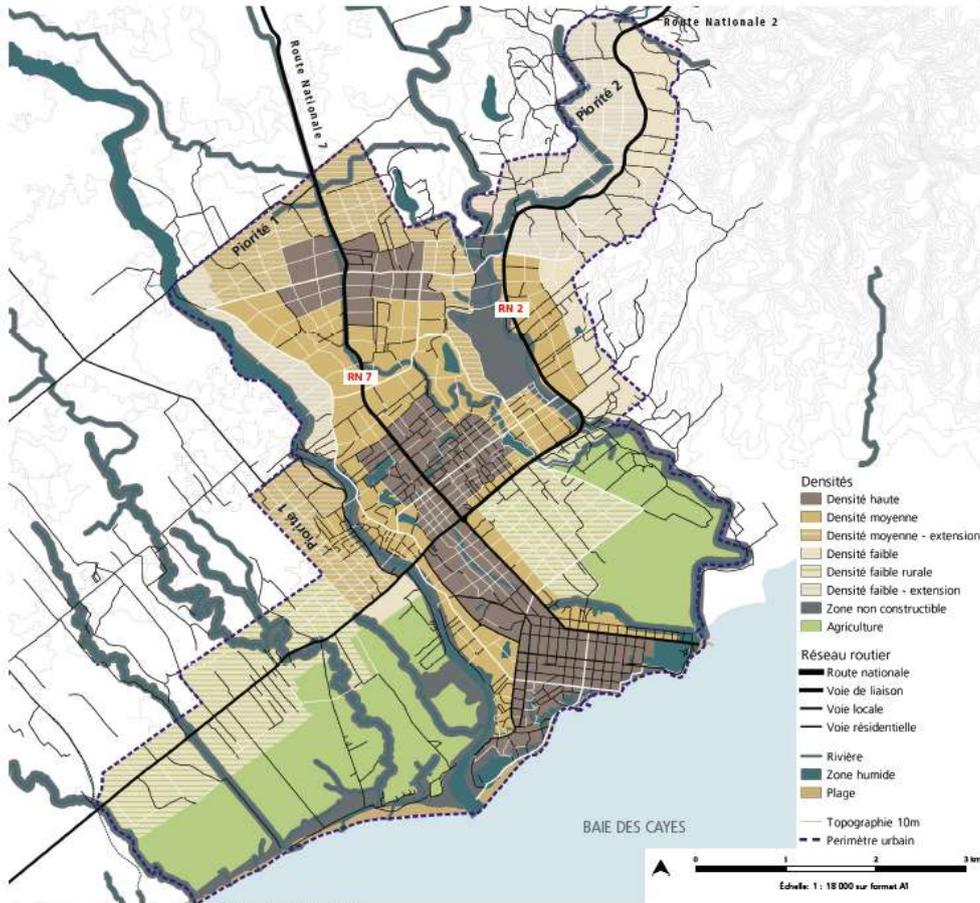
Economic-productive System

T63 Land Strategies Guide



Urban System

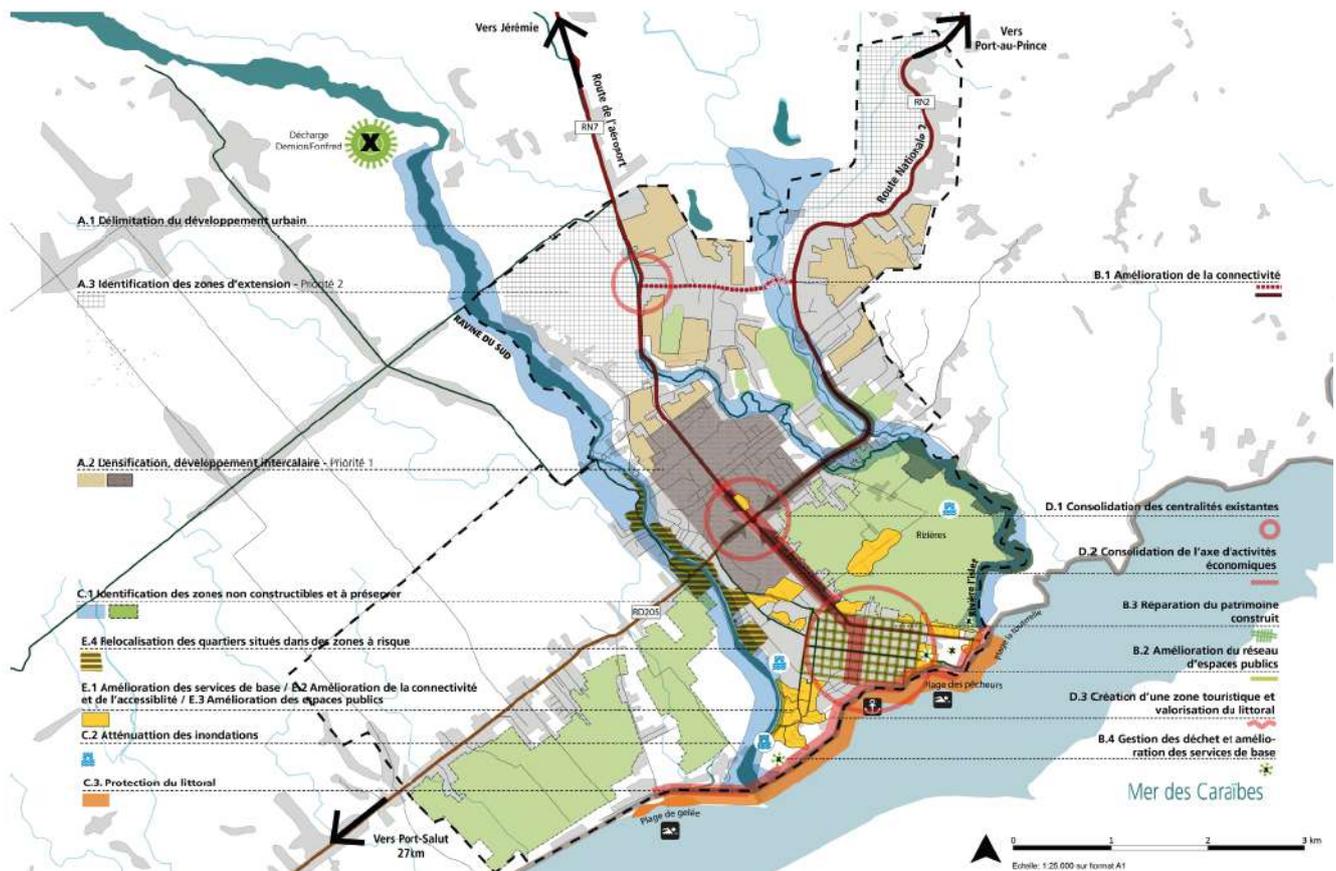
T63 Land Strategies Guide



6. Create a map that consolidates all the strategies and initiatives for all territorial systems. This represents the territorial vision for the city.

Example [Les Cayes, Haiti](#)

T63 Land Strategies Guide



Part 2. Urban Development Structure and Development Zones

Develop the following activities only if **Block E Strategic Development and Spatial Plan** has not been developed.

1. Based on the Land Strategies developed, consolidate the new urban development structure of the city, including the urban area, rural area, urban expansion and the new urban perimeter. Go to **Urban Development Structure (Activity 20)** for the full guide and tool ([T28 Urban Development Structure Guide](#)).
2. Identify development zones according to the vocational function of diverse sectors of the city. Go to **Development Zones (Activity 21)** for the full guide and tool ([T29 Development Zones Guide](#)).

T65 List of Official Aid to Development Sources

| InstitutionID | InstitutionName | InstitutionType | GeographicalFocus | Overview | InstitutionLink |
|---------------|-----------------------------------|-----------------|-------------------|--|---|
| WB | World Bank | Multilateral | Global | <p>The World Bank funds development projects via traditional loans, interest-free credits, and grant, to end poverty and boost prosperity for the poorest people. It offers support to developing countries through policy advice, research and analysis, and technical assistance.</p> <p>The World Bank invests an average of \$5 billion in planning and implementing lending projects on sustainable cities and communities every year to help cities meet the critical demands of urbanization.</p> | https://www.worldbank.org/en/home |
| IFC | International Finance Corporation | Multilateral | Global | <p>The International Finance Corporation (IFC), a member of the World Bank Group, improves the lives of people in developing countries by investing in private sector growth. It connects economic development with humanitarian needs to create real progress for the people and places that need it most.</p> | https://www.ifc.org/en/home |
| EIB | European Investment Bank | Multilateral | Europe | <p>The European Investment Bank is the lending arm of the European Union, the biggest multilateral financial institution in the world and one of the largest providers of climate finance. All the projects it finances must be bankable. But they also must comply with high technical, environmental and social standards.</p> | https://www.eib.org/en/index |

T65 List of Official Aid to Development Sources

| InstitutionID | InstitutionName | InstitutionType | GeographicalFocus | Overview | InstitutionLink |
|---------------|--|-----------------|---------------------------------|---|---|
| EBRD | European Bank for Reconstruction and Development | Multilateral | Europe, Aisa | Its operations span agribusiness, infrastructure, transport and many other sectors. All its activities will be aligned with the Paris Agreement from the end of 2022 and we plan to be a majority green bank by 2025. Financial investment projects are at the heart of its work. It also provides business advisory services and promote trade finance and loan syndications. | https://www.ebrd.com/home |
| IDB | Inter-American Development Bank | Multilateral | Latin America and the Caribbean | Through financial and technical support for countries working to reduce poverty and inequality, we help improve health and education, and advance infrastructure. Its aim is to achieve development in a sustainable, climate-friendly way. It provides loans, grants, and technical assistance; and conducts extensive research. The IDB prioritizes social inclusion and equality; productivity and innovation; and regional economic integration in its development work across Latin America and the Caribbean. | https://www.iadb.org/en/ |
| AfDB | African Development Bank | Multilateral | Africa | The overarching objective of the African Development Bank (AfDB) Group is to spur sustainable economic development and social progress in its regional member countries (RMCs), thus contributing to poverty reduction. | https://www.afdb.org/en |

T65 List of Official Aid to Development Sources

| InstitutionID | InstitutionName | InstitutionType | GeographicalFocus | Overview | InstitutionLink |
|---------------|---|-----------------|-------------------|--|---|
| UNCDF | United Nations Capital Development Fund | Multilateral | LDCs | The UN Capital Development Fund was created in 1966 by the UN General Assembly. It is an autonomous, voluntarily funded UN organization, affiliated with the UN Development Programme. UNCDF receives contributions from member states and international development partners. The financial architecture of UNCDF is comprised of core voluntary contributions, flexible non-core funding, and earmarked funds. | https://www.unctf.org/ |
| ADB | Asian Development Bank | Multilateral | Asia | The Asian Development Bank (ADB) is committed to achieving a prosperous, inclusive, resilient, and sustainable Asia and the Pacific, while sustaining its efforts to eradicate extreme poverty. It assists its members and partners by providing loans, technical assistance, grants, and equity investments to promote social and economic development. | https://www.adb.org/# |

T65 List of Official Aid to Development Sources

| InstitutionID | InstitutionName | InstitutionType | GeographicalFocus | Overview | InstitutionLink |
|---------------|--|-----------------|-------------------|---|---|
| GEF | Global Environment Facility | Multilateral | Global | GEF funding is provided by participating donor countries and made available to developing countries and countries with economies in transition to meet the objectives of international environmental conventions and agreements. In most cases, the GEF provides funding to support government projects and programs. Governments decide on the executing agency (governmental institutions, civil society organizations, private sector companies, research institutions). | https://www.thegef.org/ |
| USAID | United States Agency for International Development | Bilateral | Global | On behalf of the American people, USAID promotes and demonstrates democratic values abroad, and advance a free, peaceful, and prosperous world. In support of America's foreign policy, USAID leads the U.S. Government's international development and disaster assistance through partnerships and investments that save lives, reduce poverty, strengthen democratic governance, and help people emerge from humanitarian crises and progress beyond assistance. | https://www.usaid.gov/ |
| FCDO | United Kingdom Foreign, Commonwealth & Development Office, International Development Funding | Bilateral | Global | It pursues national interests and those of British citizens, safeguard the UK's security, defend UK's values, reduce poverty and tackle global challenges with international partners. | https://www.gov.uk/government/organisations/foreign-commonwealth-development-office |

T65 List of Official Aid to Development Sources

| InstitutionID | InstitutionName | InstitutionType | GeographicalFocus | Overview | InstitutionLink |
|---------------|--|-----------------|------------------------------|--|--|
| KfW | German Development Bank | Bilateral | Global | <p>KfW Development Bank has been helping the German Federal Government to finance and support programmes and projects that mainly involve public sector players in developing countries and emerging economies – from their conception and execution to monitoring their success. Its goal is to help its partner countries fight poverty, maintain peace, protect both the environment and the climate and shape globalisation in an appropriate way.</p> | https://www.kfw-entwicklungsbank.de/International-financing/KfW-Development-Bank/Tasks-and-goals/ |
| SDC | Swiss Agency for Development and Cooperation | Bilateral | Asia, Africa, Eastern Europe | <p>The Swiss Agency for Development and Cooperation (SDC) is the agency for international cooperation of the Federal Department of Foreign Affairs (FDFA). The SDC is responsible for the overall coordination with other federal authorities of development cooperation and cooperation with Eastern Europe as well as for humanitarian aid delivered by the Swiss Confederation.</p> | https://www.fdfa.admin.ch/sdc/# |
| DFAT | Australian Department of Foreign Affairs and Trade | Bilateral | Pacific | <p>The Department of Foreign Affairs and Trade (DFAT) works with international partners and other countries to tackle global challenges, increase trade and investment opportunities, protect international rules, keep our region stable and help Australians overseas.</p> | https://www.dfat.gov.au/ |

T65 List of Official Aid to Development Sources

| InstitutionID | InstitutionName | InstitutionType | GeographicalFocus | Overview | InstitutionLink |
|---------------|--|-----------------|-----------------------------|---|---|
| JICA | Japan International Cooperation Agency | Bilateral | Global | JICA's cooperation strategies (20) for global issues aiming to show development impact / outcome for priority issues with "Cluster Strategy", and to maximize development impacts / outcome by proactively working with partner governments and variety of actors. | https://www.jica.go.jp/english/ |
| CIDA | Canadian International Development Agency | Bilateral | | | http://www.acdi-cida.gc.ca/ |
| AFD | Agence Française de Développement | Bilateral | Global | The Agence Française de Développement (AFD) Group funds, supports and accelerates the transition to a fairer and more sustainable world. Focusing on climate, biodiversity, peace, education, urban development, health and governance, the teams carry out more than 4,200 projects in France's overseas departments and territories and another 150 countries. | https://www.afd.fr/en |
| NORAD | Norwegian Agency for Development Cooperation | Bilateral | Asia, Africa, Latin America | Norad - the Norwegian Agency for Development Cooperation - is a professional body under the Ministry of Foreign Affairs (MFA). Together with partners and on behalf of Norway, Norad strives for a greener future in a world without poverty. By way of knowledge and cooperation, it ensures that the funds of Norwegian development aid contribute to global development. | https://www.norad.no/en/front/ |

T65 List of Official Aid to Development Sources

| InstitutionID | InstitutionName | InstitutionType | GeographicalFocus | Overview | InstitutionLink |
|---------------|--|-----------------|--|--|---|
| SIDA | Swedish International Development Cooperation Agency | Bilateral | Africa, Asia, Europe and Latin America | <p>Sida – the Swedish International Development Cooperation Agency – is a government agency. Its mission is part of the national policy for global development and we strive to reduce world poverty. Sida's activities are funded through Swedish tax revenue.</p> <p>With over US\$ 850 million allocated, the Adaptation Fund gives developing countries full ownership of adaptation projects, from planning through implementation, while ensuring monitoring and transparency at every step.</p> | https://www.sida.se/en |
| AF | Adaptation Fund | Multilateral | Global | <p>Climate Investment Funds comprises two funds, the Clean Technology Fund and the Strategic Climate Fund. The Clean Technology Fund provides new large-scale financial resources to invest in clean technology projects in developing countries, which contribute to the demonstration, deployment, and transfer of low-carbon technologies with a significant potential for long-term greenhouse gas emissions savings.</p> | https://www.adaptation-fund.org/ |
| CIF | Climate Investment Funds | Multilateral | Global | <p>Climate Investment Funds comprises two funds, the Clean Technology Fund and the Strategic Climate Fund. The Clean Technology Fund provides new large-scale financial resources to invest in clean technology projects in developing countries, which contribute to the demonstration, deployment, and transfer of low-carbon technologies with a significant potential for long-term greenhouse gas emissions savings.</p> | https://www.cif.org/ |

T65 List of Official Aid to Development Sources

| InstitutionID | InstitutionName | InstitutionType | GeographicalFocus | Overview | InstitutionLink |
|---------------|--|-----------------|---------------------------------|---|---|
| GCF | Green Climate Fund | Multilateral | Global | <p>The Green Climate Fund (GCF) – a critical element of the historic Paris Agreement - is the world's largest climate fund, mandated to support developing countries raise and realize their Nationally Determined Contributions (NDC) ambitions towards low-emissions, climate-resilient pathways. It can structure its financial support through a flexible combination of grant, concessional debt, guarantees or equity instruments to leverage blended finance and crowd-in private investment for climate action in developing countries.</p> | https://www.greenclimate.fund/ |
| CAF | Corporación Andina de Fomento | Multilateral | Latin America and the Caribbean | <p>CAF is a development bank committed to improving the quality of life for all Latin Americans and Caribbeans. Their actions promote sustainable development and regional integration. We aim to be the green and blue bank, and the one responsible for the economic and social reactivation of the region.</p> | https://www.caf.com/ |
| JBIC | Japan Bank for International Cooperation | Bilateral | Global | <p>JBIC is a policy-based financial institution of Japan, and conducts lending, investment and guarantee operations while complementing the private sector financial institutions.</p> | https://www.jbic.go.jp/en |

T65 List of Official Aid to Development Sources

| InstitutionID | InstitutionName | InstitutionType | GeographicalFocus | Overview | InstitutionLink |
|---------------|--|-----------------|-------------------|--|---|
| AECID | Agencia Española para la Cooperación y el Desarrollo | Bilateral | Global | The Spanish Agency for International Development Cooperation (AECID) is the central organisation that manages Spanish Cooperation, dedicated to the fight against poverty and to sustainable human development. The AECID is attached to the Ministry of Foreign Affairs and Cooperation through the Office of the Secretary of State for International Cooperation and for Latin America. | https://www.aecid.es |
| AICS | Agencia Italiana per la Cooperazione allo Sviluppo | Bilateral | Global | AICS - the Italian Agency for Development Cooperation - is one of key innovations established by the Italian law on international cooperation. The Agency began operating in January 2016, with the aim of aligning Italy with its principal European and global partners in the endeavor of development. | https://www.aics.gov.it |

T66 Environmental and Social Impact Assessment (ESIA) Template

Description The Environmental and Social Impact Assessment (ESIA) is a comprehensive document that assesses and evaluates the potential environmental and social impacts of a proposed project, which involves physical intervention and transformation, and consequently, can trigger high levels of environmental and social risks.

Participants This activity is carried out by the technical team, with strong support from environmental engineers, the planning and environmental ministries.

Instructions

1. EXECUTIVE SUMMARY

Note 1: This is a non-technical executive summary, which includes the main content of the ESIA in a language that is easy to understand by different audiences, especially community stakeholders.

The executive summary should include:

- 1. The main characteristics of the project/programme, for construction and operation phases.*
- 2. Setting the Area of Influence of the project/programme and the results of the environmental and social baseline studies.*
- 3. The findings of the impact assessment, and proposed mitigation measures.*
- 4. Description of the process of stakeholder engagement.*

2. POLICY, LEGAL AND INSTITUTIONAL FRAMEWORK

2.1 Institutional Environmental and Social Policies

Note 2: This section should be focused on the environmental and socio-environmental regulation.

Note 3: Make a reference in case Un-Habitat's, Financial Institutions' or donors' standards are applicable to the project.

| Institution/ Organization | Name/Number of the Standards | Applicability to the Project/Programme | How this is addressed in the ESIA |
|------------------------------|---------------------------------|---|--------------------------------------|
| | | | |

T66 Environmental and Social Impact Assessment (ESIA) Template

2.2 Policy and Legal Framework

Note 4: Is there an Environmental Law or Act in the country? Is there a regulatory framework in which pollution or emission of pollutants are addressed? Complete this section analyzing existing applicable laws and rules, International Conventions, Treaties and Agreements, and national and international standards and guidelines

Complete the table with the following information:

1. The number, name and the year in which the regulatory body was enacted.
2. A brief description, with the topics or issues addressed in the regulatory body.
3. This is the key information in this section: how does it apply and how will the topics or issues included in the regulatory body be considered in the ESIA.

| # | Proclamation/ Regulation | Brief Description | Applicability to this Project/Programme |
|---|-----------------------------|-------------------|--|
| 1 | | | |
| 2 | | | |
| 3 | | | |

3. PROJECT/PROGRAMME DESCRIPTION AND ALTERNATIVE SELECTION

3.1 General Overview

Note 5: In this section a detailed description of the project/programme should be made. The final aim of this description is to identify the source of impacts: where, how and when they could occur.

Note 6: In this section, describe:

1. The schedule of the project/programme, by days/months, detail the duration of the different activities within the phases of construction and operation; and
2. The budget, with as much detail as possible.

3.2 Project/Programme Location

Note 7: In this section, present:

1. Location of the project/programme, including country, region, municipality and neighbourhood; and
2. Including overview maps of the project/programme and the project/programme area.

T66 Environmental and Social Impact Assessment (ESIA) Template

3.3 Description of the Project's/Programme's Physical Components and Structures

Note 8: In this section, present:

1. Temporary structures of the project/programme (those that are part of the construction phase);
2. Permanent structures of the project/programme (those that are part of the operation phase); and
3. Including figures with the project's/programme's layout.

3.4 Description of the Project's/Programme's Activities

Note 9: Activities for the construction and operation phases include, but are not limited to:

- Storage of materials;
- Provision of basic supplies;
- Provision of basic utilities;
- Machinery or equipment to be used;
- Estimation of emissions;
- Waste generation; and
- Vehicular flow associated.

4. BASELINE STUDIES

4.1 Setting the Study Limits

1. Identifying and justifying the Area of Influence.
2. Including information about political/administrative division.

4.2 Methodology and Objectives

Including a general overview and specificities for each dimension or aspects.

5. IMPACT AND RISK ASSESSMENT

5.1 Impact and Risk Assessment Methodology

5.2 Impact and Risk Identification and Assessment

Include for each project/programme phase relevant maps, aerial photos, satellite images in proper scale clearly indicating the location of sources of Adverse Impacts, the spatial and temporal distribution of such impacts and with reference to the Description of the Surrounding Environment, the components that are likely to be impacted and the nature of the impacts.

T66 Environmental and Social Impact Assessment (ESIA) Template

6. ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN

6.1 Content of Each Measure

Note 10: The ESMP is formed by measures that address all environmental and social impacts derived from the Impact and Risk Assessment. Aim of the ESMP is to define appropriate measures to mitigate the identified and assessed impacts. As part of the ESMP, a plan for monitoring the environmental and social performance of the project/programme, which ensures that measures are being implemented as planned.

Note 11: Complete the following table for each measure that is part of the ESMP.

| | |
|---|---|
| Environmental or social aspect affected by the impact | <i>(Aspects that were considered in the Baseline studies)</i> |
| Associated impact | <i>(Identified and assessed in the chapter below)</i> |
| Project/programme phase | <i>(Construction or operation)</i> |
| Type of measure | <i>(Minimization, mitigation or compensation)</i> |
| Name of the measure | |
| Objective | |
| Description | |
| Location for the implementation | <i>(Project/programme area, area of influence or other)</i> |
| Method of implementation | |
| Timeframe | <i>(Construction or operation; days/months/years)</i> |
| Monitoring | <i>Indicator:</i> <i>Means of verification:</i> <i>Frequency:</i> |

6.2 Monitoring

Note 12: The Management Plan should include the monitoring of the project/programme during the implementation phase. Monitoring is aimed at: observing that environmental and social risks and impacts of the project/programme, ensuring compliance with the regulatory framework and ensuring that the Management Plan is implemented and working according to plan.

T66 Environmental and Social Impact Assessment (ESIA) Template

Type, scope and frequency of the monitoring plan should be planned accordingly to the magnitude of the project's/programme's risks and impacts.

The Monitoring plan should include, for every measure (measure defined to address the assessed impacts) a description of:

1. The monitoring indicators;
2. The frequency of the monitoring;
3. Monitoring roles and responsibilities; and
4. Means of verification.

7. PUBLIC CONSULTATION AND DISCLOSURE

7.1 Approach

Note 13: In this section include a description of the main topics and issues discussed during the stakeholder engagement process and how these were incorporated into the ESIA process.

Note 14: Describe the strategy used for engaging stakeholders, referring to the Stakeholder Engagement Plan defined in the Safeguard Scoping Report. This section should be a brief description of the actual implementation of the Plan:

1. How was implemented the during the Screening, Scoping and ESIA phase;
2. What kind of activities were implemented; and
3. Who participate in the activities?

7.2 Summary of Consultations and Activities Undertaken

Note 15: Complete the following table, describing each of the engagement activities implemented. There should be one table for each of the phases: screening, scoping and ESIA.

Additionally, attach as annexes of this section all Minutes of meetings, pictures, audios and other materials resulting from engagement activities with stakeholders (including authorities at the national and local level, communities, interested parties, etc.)

| Date | Stakeholders | Location | Key topics discussed |
|------|--------------|----------|----------------------|
| | | | |
| | | | |

T66 Environmental and Social Impact Assessment (ESIA) Template

7.3 Results of Consultations

Note 16: Complete the following table, listing the Question/observation/Comment received, the engagement activity (in which activity, when) and detailing how the Question/observation/ Comment is addressed in the ESIA.

It is important to mention that this table is the core of this chapter, as it shows the actual participation of the stakeholders.

| Question/observation/ Comment | Activity in which it was presented | How it was addressed on the ESIA |
|----------------------------------|---------------------------------------|-------------------------------------|
| | | |
| | | |

7.4 Further Activities

Note 17: Describe planned activities for engaging stakeholders when the Environmental License is granted, that is, during construction and operation.

T68 Urban Development Directives Guide

Description

This tool guides the definition of urban development directives that should be established for specific sector of the city, according to concrete objectives, or across the city based on thematic areas.

Participants

This activity is carried out by the technical team and validated by the advisory board.

Instructions:

1. Identify specific sectors of the city in which more concrete urban development or design guidelines should be established. These might apply to strategies defined in Land Strategies (Activity 26), for example: new economic development centers, areas that will be strategically densified, environmentally protected areas, etc. Likewise, instead of applying directives to specific sectors, these can be developed across the city for concrete sectors (e.g. mobility, basic services, etc.). For example, street design guidelines, access to public spaces, etc.
2. Review the table below and select the themes that need to be developed in specific directives, according to the context. These will complement the indicators defined previously for each of land use established.

Themes for urban development and design standards and guidelines

| | |
|--------------------------------------|---|
| Number of floors and building height | It indicates the possibility of verticalization of the land and establishes the maximum number of floors and the maximum height of buildings. This index is useful to preserve a qualitative urban landscape and a coherent image of the city. It is possible to have both or only one of the two. |
| Construction removal | It refers to the minimum distance between buildings and the perimeter of the plot. It is not always necessary, but it is a great tool to ensure buffer zones in specific areas, such as coastal areas, riverbanks or near airports. |
| Facade detail code | It provides specific guidelines for the design of the building façade or any architectural requirements, in order to integrate the building into 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, protruding elements, signs and advertisements, façade vegetation, lighting, decoration, etc.). |
| Sidewalks and pedestrian spaces | Different strips can be established within the sidewalk and specific measurements depending on the context. Examples: <ul style="list-style-type: none">● Facade strip: area adjacent to the facade, where the access to the building is located, as well as the possible commercial use or the incorporation of furniture.● Pedestrian circulation strip: area free of elements and obstacles.● Urban furniture and vegetation strip: area destined for furniture such as benches, garbage cans, playground furniture, etc., as well as for garden space and/or trees in flowerbeds.● Pedestrian ramps: a maximum slope of 8% is recommended.● Extension of sidewalks: when there is a parking lane, the sidewalk should be extended in the shape of an ear. |

T68 Urban Development Directives Guide

| | |
|--------------------------|--|
| | <ul style="list-style-type: none"> • Podotactile guides |
| Public space equipment | Guidelines for basic street furniture (benches, bicycle racks, bollards), recreational furniture, lighting, public transportation stops, urban landmarks. |
| Urban vegetation | Guide the integration of vegetation on sidewalks and public spaces, including the plant palette and recommended dimensions of trees, plants, and planting elements, considerations for irrigation, water treatment and reuse. The incentive of endemic species that contribute to strengthen the ecosystemic services of green infrastructure should be taken advantage of. |
| Rainwater infrastructure | It considers rain gardens, water drainage elements, drains and grates, and pavement types. |
| Active first floor | Guidelines to promote the first floor |
| Intersections | Design and guidelines for crosswalks, which can be of different types, such as crossings at the level of the vehicular lane, crossings on a rebound, crossings on a platform (sidewalk level), etc... Adequate measures must be considered according to existing manuals and regulations, as well as the correct horizontal and vertical signaling. |
| Parking | Parking management is important for the social and economic success of urban spaces. Parking regulation can manage parking demand and discourage car use. On-street parking can be regulated with its location, guidelines for accessible parking, implementation of parklets or pocket parks using parking spaces for public space. Likewise, parking lots within private properties can be regulated, indicating their number, location, access, etc., depending on the use of the land and the zone where they are located. |
| Access | Guidelines for pedestrian and vehicular accesses and service areas, such as their location and dimensions to give pedestrian priority and promote safe dynamics. |

What are good urban practices?

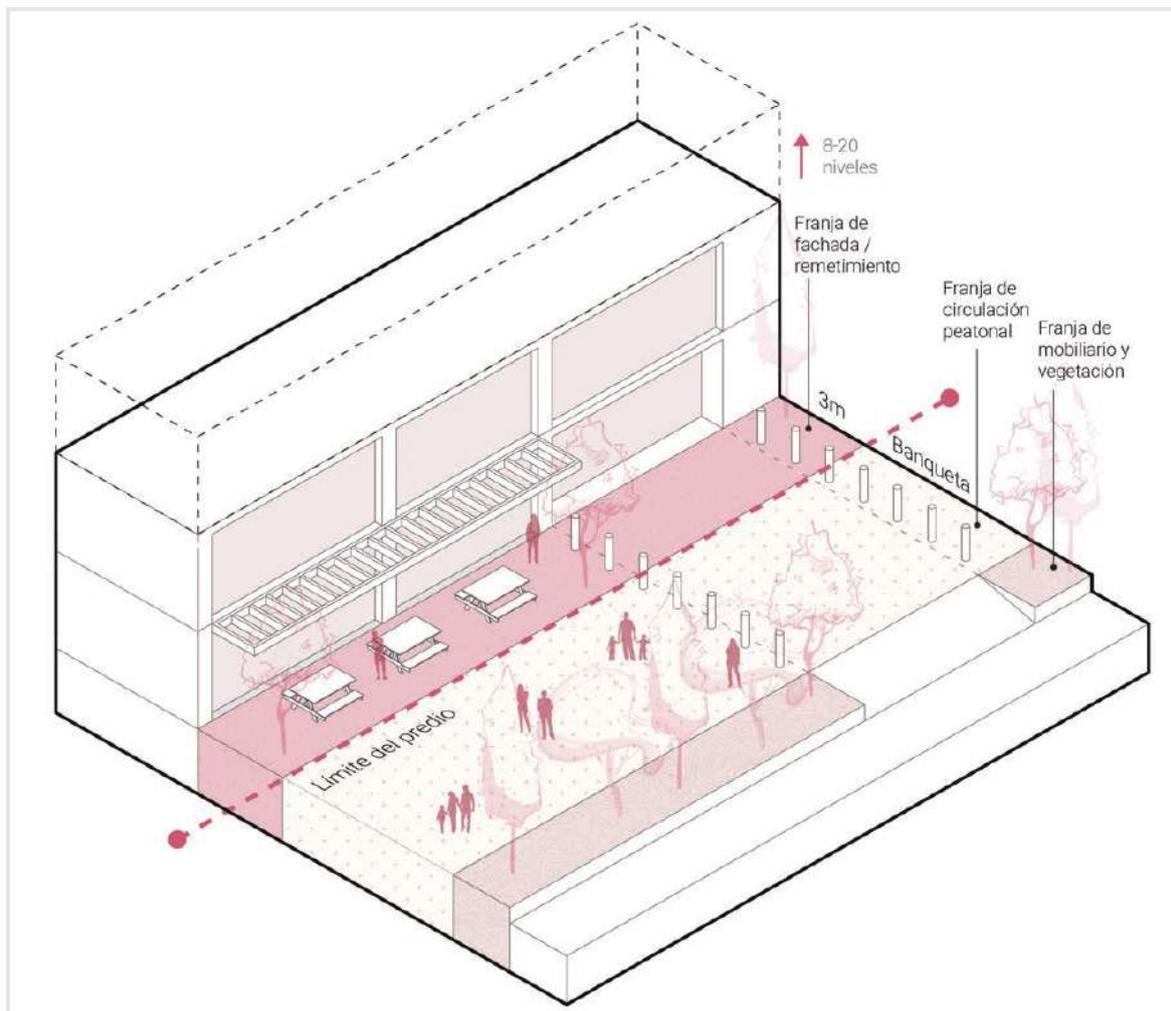
- **Social housing.** Developers guarantee 10-20% of residential units dedicated to public rental social housing for vulnerable groups of the society.
- **Mixed-use.** The building integrates residential and commercial use (or other public facilities), to improve diversity and create a vibrant public life. Commercial use is generally at the ground floor to increase public accessibility.
- **Active facade.** Ground floor facade serves the public spaces and the surrounding streets, providing services, lights, greenery, pleasant surfaces, exchange and accessibility. These increase the quality of public spaces, safety and the value of the neighbourhood.
- **Nature-based solutions.** Green and blue infrastructure help address multiple challenges and provide numerous benefits to the city and its residents, including climate mitigation and ecosystem-based adaptation, food security, health and well-being, recreational opportunities and local economic development. Hybrid approaches, combining green, blue and grey infrastructure, can be effective strategies for sustainable and resilient land-use planning.
- **Public space.** Developers reserve a % of the plot to covered or uncovered public areas, free to access and

T68 Urban Development Directives Guide

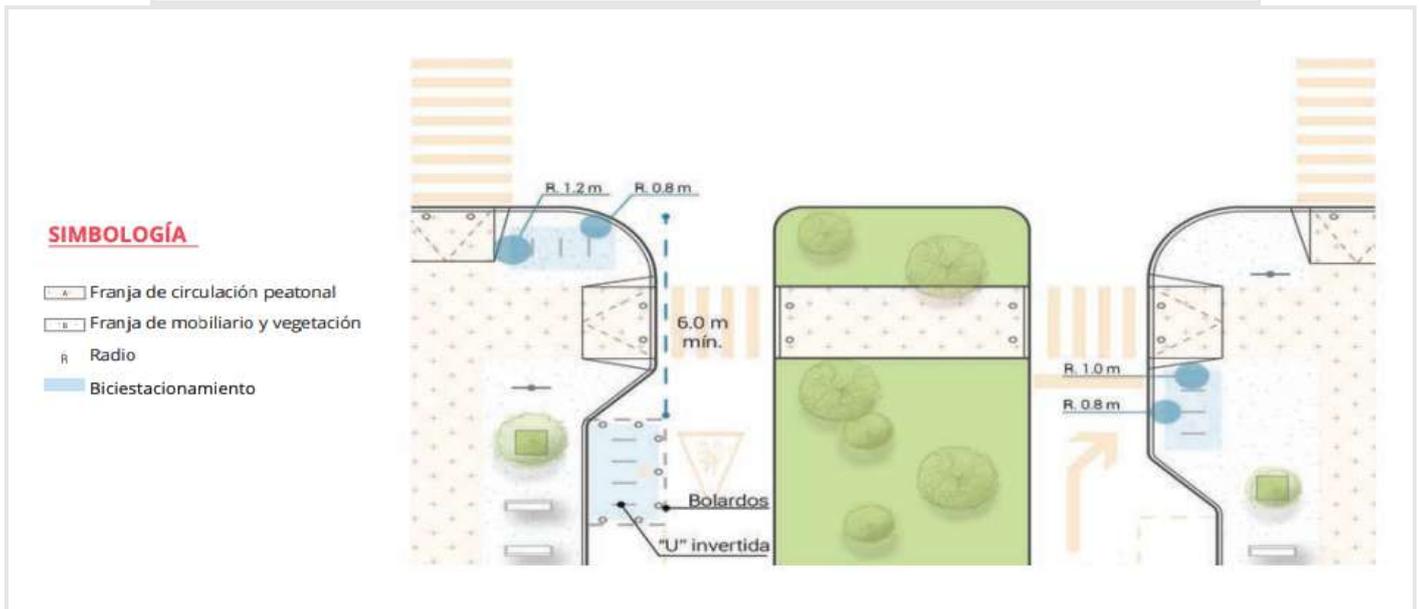
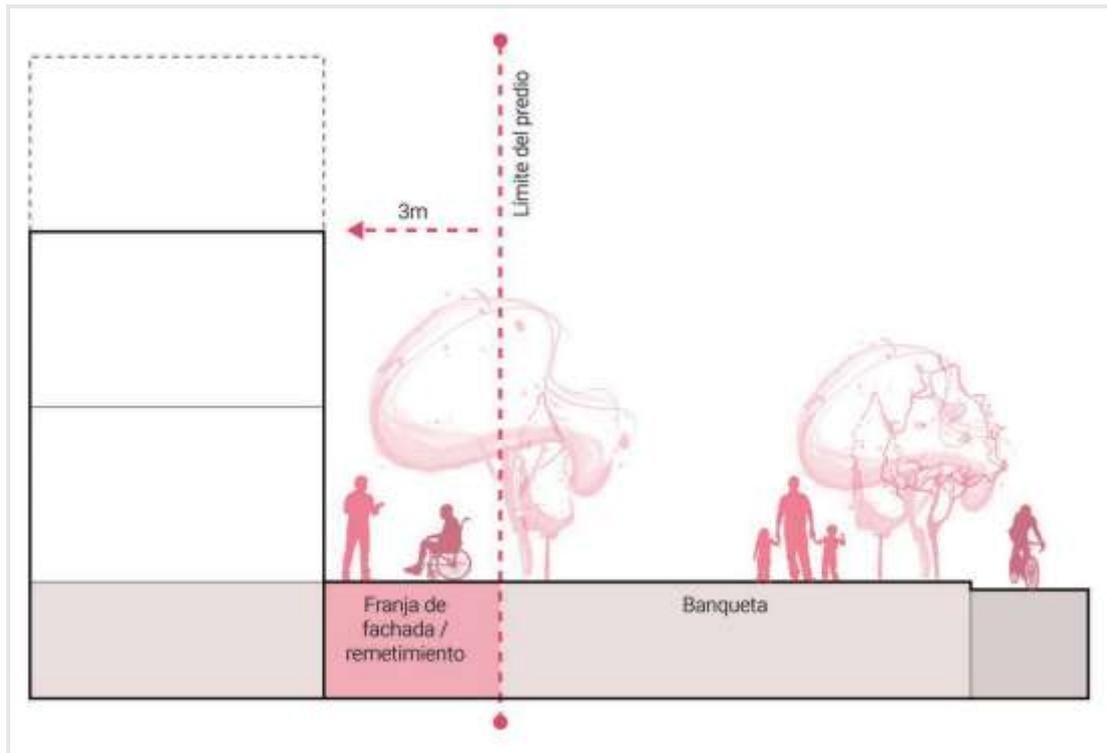
use for all the city dwellers and tourists, defining a setback, an accessible hall or a courtyard.

- **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.

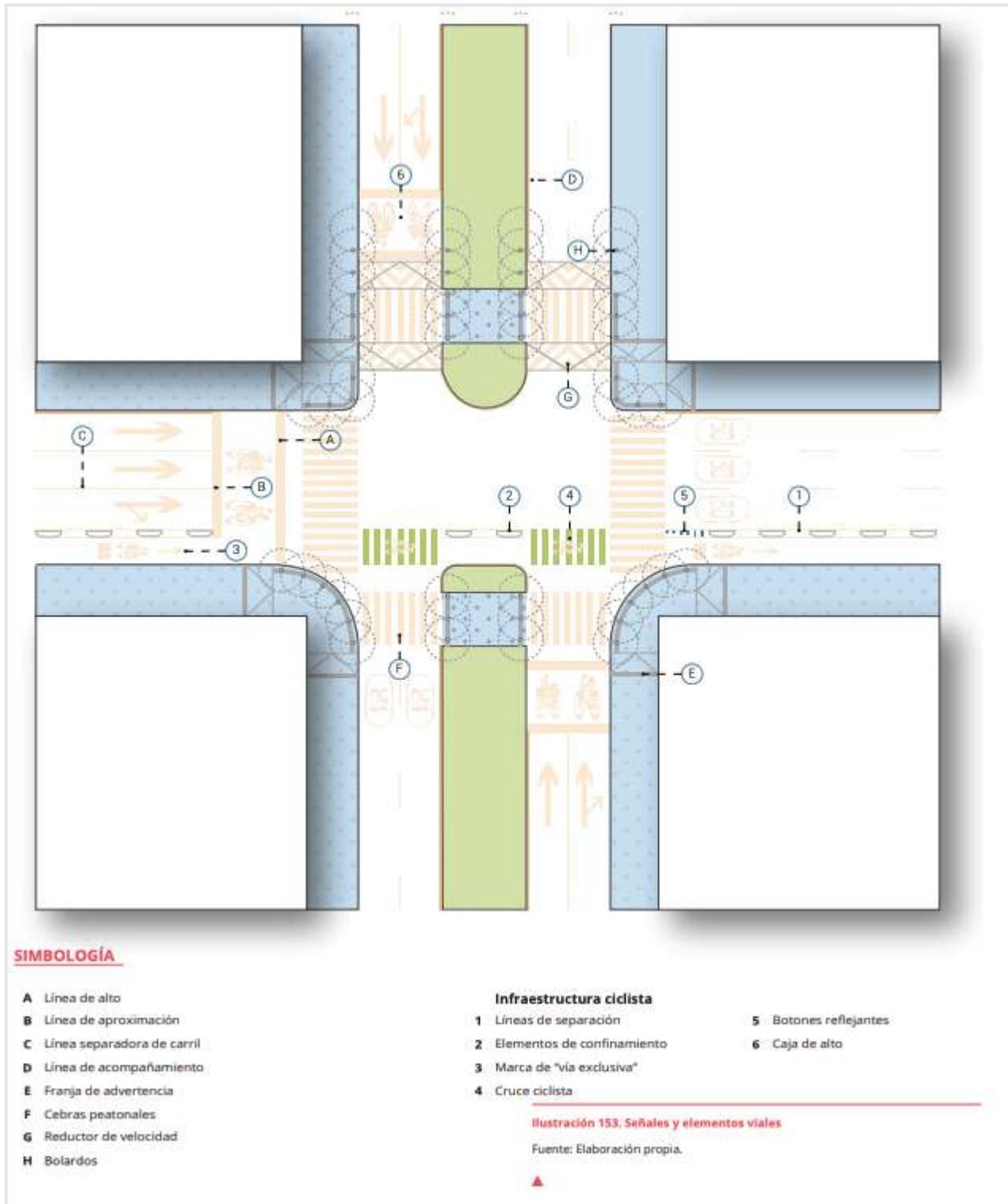
Example of Urban Design Guidelines, [Master Plan Puente Nichupté](#), Cancun, Mexico. More references on page 367.



T68 Urban Development Directives Guide



T68 Urban Development Directives Guide



ANNINI

ES

EX -

06

[Planning experiences](#)

[References](#)

[Get in touch](#)

Planning experiences

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Angola

Angola's National Policy on Territorial Planning and Urbanism (PNOTU)



Las Lajas - Argentina

Las Lajas Municipal Development Plan



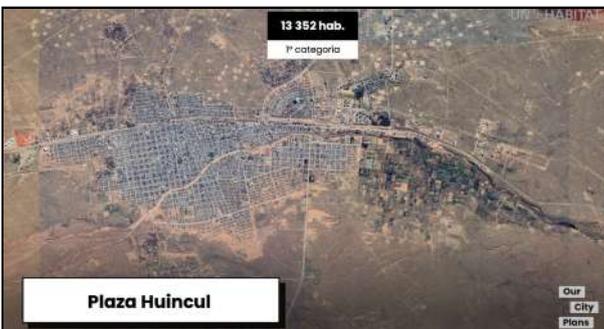
Aluminé - Argentina

Aluminé Municipal Development Plan



El Hucú - Argentina

El Hucú Municipal Development Plan



Plaza Huincul - Argentina

Plaza Huincul Municipal Development Plan



Belmopan - Belize

Belmopan Urban Development Plan

Planning experiences



Sao Tome - Sao Tome & Principe
Sao Tome 2030
Sustainable Urban Development Framework
for the Island of Sao Tome



Principe - Sao Tome & Principe
Principe 2030 - Sustainable Development
Plan for the Autonomous Region of Principe



Belize City - Belize
Launch and training session of Our City
Plans Central America



Dame Marie - Haiti
Urban planning, beautification and extension
project of the city of Dame Marie



Canaan, Port-au-Prince - Haiti
Urban development initiative (UrDI) for the
Canaan area of Port-au-Prince



Jérémie - Haiti
Urban planning, beautification and extension
project of the city of Jérémie

Planning experiences



Bissau - Guinea Bissau

Bissau 2030
Sustainable Development Plan



Region of Bolama-Bijagós - Guinea Bissau

Bolama-Bijagós Regional Strategic
Development Plan Bijagós 2030
Etibêne Kossok!



Bolama - Guinea Bissau

Bolama Basic Spatial Plan



Bubaque - Guinea Bissau

Bubaque Basic Spatial Plan



Hawassa - Ethiopia

Sustainable Development of Hawassa City
Cluster



Bahir Dar - Ethiopia

Bahir Dar Vision 2035

Planning experiences



Les Cayes - Haiti

Urban planning, beautification and extension project of the city of Les Cayes



Ciudad Juarez - Mexico

Ciudad Juarez 2040 City Vision



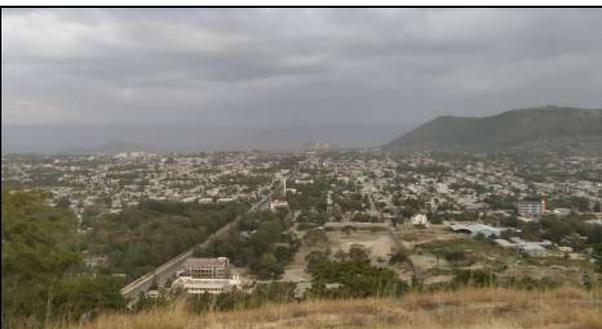
Conakry - Guinea

Greater Conakry Regional Master Plan and two Detailed Development Plans



Gorongosa - Mozambique

Gorongosa 2030 - Sustainable Development Framework 2030 of Gorongosa Village



San Nicolas de los Garza - Mexico

San Nicolas de los Garza 2030 City Vision



Lalitpur - Nepal

Sustainable Tourism and Green Growth for Heritage Settlements of Kathmandu Valley

Planning experiences



Saudi Arabia

Future Saudi Cities Programme



Johannesburg- South Africa

Spatial Development Framework 2040: City of Johannesburg Metropolitan Municipality



Khorog- Tajikistan

Integrated Spatial Plan for Environmental and Socio-Economic Resilience for the city Khorog, Tajikistan



Ben Tre - Vietnam

Institutional Strengthening and Capacity Building for Urban Development in Vietnam, Spatial strategy and action plan for Ben Tre city, Ben Tre province



Tam Kỳ - Vietnam

Institutional Strengthening and Capacity Building for Urban Development in Vietnam, Comprehensive development strategy of Tam Thanh toward Tourism Community Art Village



Vung Tau - Vietnam

Institutional Strengthening and Capacity Building for Urban Development in Vietnam

References

All additional resources included in the Activities can be found in the Resources section of the digital platform. Explore them and filter them by keyword or Phase.

| Reference | year |
|---|------|
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| A Guide to Developing Collaborative Partnerships in Civil Society | 2015 |
| A guide to input output model multipliers | 2015 |
| A Guide to Resource Mobilization | 2012 |
| A new strategy of sustainable neighbourhood planning: Five Principles | 2014 |
| A Practical Guide to Designing, Planning, and Executing Citywide Slum Upgrading Programmes | 2015 |
| A Primer in Economic Multipliers and Impact Analysis Using Input-Output Models | 2018 |
| An Analysis of Urban Climate Adaptation Finance | 2021 |
| An Introduction to Economic Impact Assessment | 2002 |
| Assessing the impact of eviction Handbook | 2014 |
| Assessing The Impact Of Eviction: Handbook | 2014 |
| Bissau 2030 Sustainable Development Plan | 2019 |
| Challenges and Opportunities for Urban Climate Finance | 2017 |
| City context reports of the Global Future Cities Programme | 2019 |
| City of Toronto Long-term Decision-making, Planning and Budgeting | 2017 |
| City Profiles of the Future Saudi Cities Programme | 2019 |
| City Prosperity Index | 2016 |
| City Prosperity Initiative | 2015 |
| City Resilience Action Planning Tool (CityRAP) | 2018 |
| City Revenue Fact Sheet | 2016 |
| City-wide public space assessment toolkit | 2020 |
| City-Wide Public Space Strategies: A Compendium of Inspiring Practices | 2019 |
| City-wide public space strategies: A Guidebook for City-Leaders | 2020 |
| Ciudad Juarez City Vision: Executive report | 2023 |
| Climate Change Legal Tools | NA |
| Climate change vulnerability and risk: A guide for Community Assessments, Action Planning and Implementation | 2015 |
| Climate Finance Reports and Tools | 2021 |
| Climate Proofing Toolkit | 2021 |
| Collaborative Map | NA |
| Community participation in public space and urban design projects during the COVID-19 pandemic: Experiences and reflections from Iberoamerica and the Caribbean | 2021 |
| Constructed Wetlands Manual | 2008 |
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| Economic Foundations for Sustainable Urbanization: A Study on Three-Pronged Approach: Planned City Extensions, Legal Framework, and Municipal Finance | 2017 |
| Economic Impact Assessment: An Overview | NA |
| Encyclopedia of Social Measurement | 2005 |
| Environmental and Social Safeguards System Version 3 (ESSS 3.1) | 2021 |
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| Finance for City Leaders Handbook | 2017 |
| Financing Sustainable Urban Development | 2021 |
| Financing Urban Shelter | 2005 |
| Fit-for-Purpose Land Administration Principles | 2017 |
| Flagship Programme SDG Cities | 2020 |
| Framework for assessing continuing land rights scenarios | 2016 |
| Framework for the assessment of the Urban Planning Regulations | 2018 |
| Framework for the Costing and Financing of Land Administration Services | 2018 |
| GIS Handbook for municipalities | 2016 |
| GIS Methodology: Future Saudi Cities Programme | 2019 |
| Global Land Tool Network | NA |
| Global Public Space Toolkit: From Global Principles to Local Policies and Practice | 2015 |
| Global Urban Monitoring Framework | 2022 |
| Governance Assessment Framework for Metropolitan Territorial and Regional Management | 2020 |
| Guidelines for Urban Planning in Myanmar | 2016 |
| Guidelines on Impact Assessment for EU Lamfalussy Level 3 | 2008 |
| Handbook on Supply and Use Tables and Input Output-Tables with Extensions and Applications | 2018 |
| Her City toolbox | 2023 |
| Innovative Land and Property Taxation | 2011 |
| Input-Output Analysis: Foundations and Extensions | 2022 |
| Integrating Health in Urban and Territorial Planning: A sourcebook for urban leaders, health and planning professionals | 2020 |
| International Guidelines on Urban and Territorial Planning (IG-UTP) Handbook | 2018 |
| Kobo toolbox | NA |
| Land and natural disasters. Guidance for Practitioners | 2010 |
| Land and Property Tax | 2011 |
| Land Professionals in the Arab region: roles, capacities and contribution to land governance and land tenure security | 2023 |
| Leveraging Land: Land-based Finance for Local Governments | 2016 |
| Leveraging Land: Land-based Finance for Local Governments - A Reader | 2016 |
| Manual for the Preparation of Voluntary National Reviews | 2021 |
| Methodological Guide for the operationalisation of urban projects | 2018 |
| Methodologies - Metropolitan planning and management | 2020 |
| National Urban Forum Guidelines | NA |
| New Urban Agenda | 2017 |
| New Urban Agenda Illustrated | 2020 |
| Next steps under the Paris Agreement and the Katowice Climate Package | 2019 |
| NichuptÃ© Bridge Master Plan | 2021 |
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| Planning Sustainable Cities UN-Habitat Practices and Perspectives | 2010 |
| PPP Reference Guide 3.0 | 2017 |
| Principe 2030 | 2020 |
| Prioritisation of urban projects | 2018 |
| Project portfolio Ciudad Juarez Vision 2040 | 2023 |
| Project SDG Assessment Tool | 2020 |
| Prosperous Cities Index (Mexico) | 2018 |
| Public Space Site-specific Assessment Guidelines | 2020 |
| Public-Private Partnership Handbook | 2008 |
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| Rapid Financial Assessment for Planned City Expansion (PCE) | 2016 |
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| Urban Planning for City Leaders | 2014 |
| Urban Prosperity Initiative (CPI) | 2023 |
| USaid - Project Financial plan template | NA |
| Using Minecraft for Community Participation | 2016 |
| Using Minecraft for Youth Participation in Urban Design and Governance | 2015 |
| Value Capture and Land Policies | 2012 |
| Voluntary National Reports (INV) | 2022 |
| Waste Wise Cities | 2023 |
| What is a Bankable Project | 2013 |

All additional resources included in the Activities can be found in the Resources section of the digital platform.

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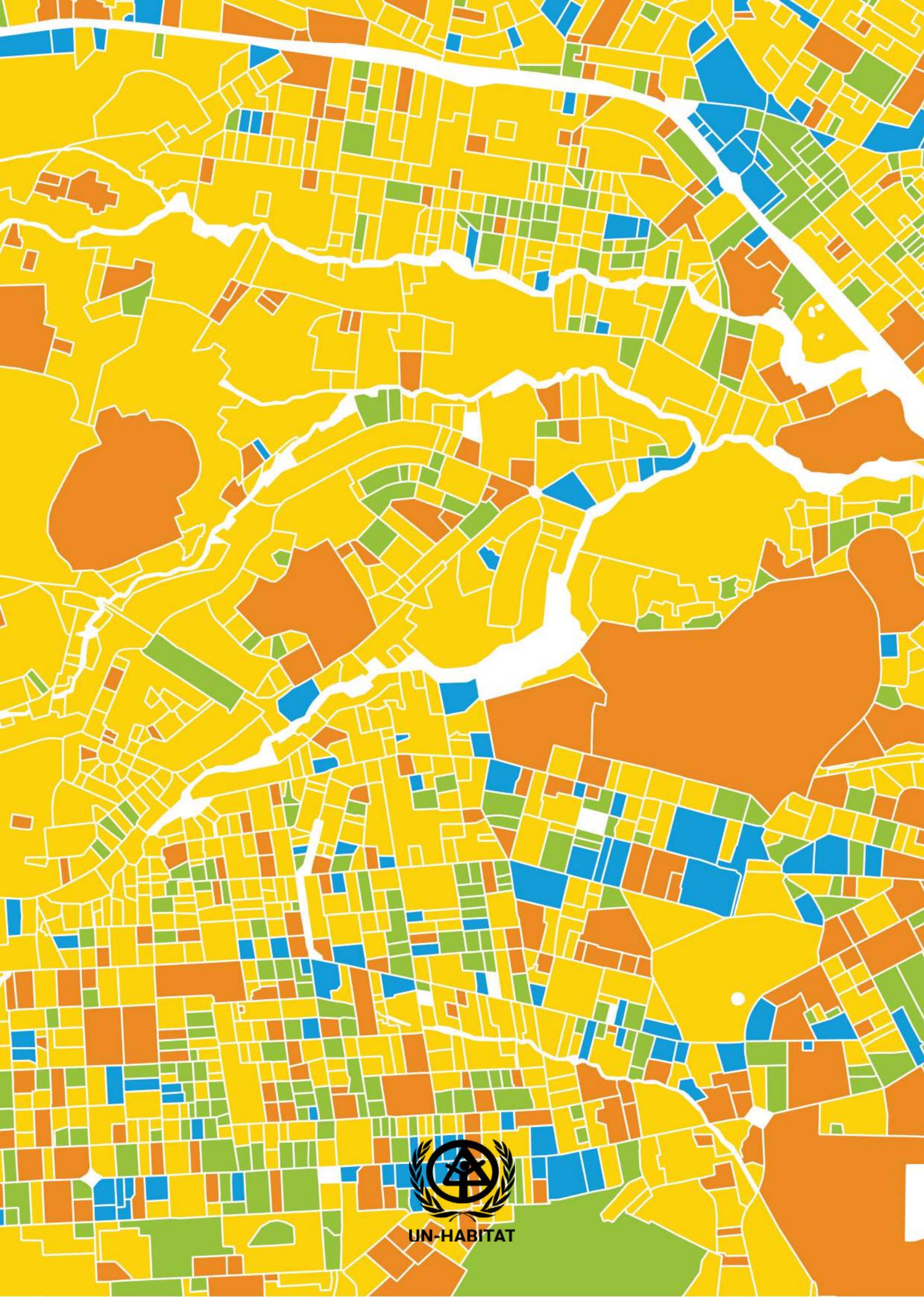
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