



# PLAN ASSESSMENT TOOL

FOR RAPIDLY GROWING CITIES

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HS/1026/08 E

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Cover photo: Giambattista Nolli's map of Rome

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## Foreword

Over the past 20 years, over 75 per cent of the world's cities have grown more unequal. Although the world has made significant progress in reducing poverty since 2000, inequality is rising in the cities of both the developing and developed world. Today, the gap between the rich and the poor in most countries is at its highest level in 30 years; the global top one per cent of earners have captured twice as much of that growth as the 50 per cent poorest.

With almost 70% of global GDP generated in cities, it is clear that sustainable and inclusive urbanization can have a positive catalytic impact on development at large. Yet, urbanization in the most rapidly growing parts of the world - Southern and Eastern Asia, as well as sub-Saharan Africa - is largely unplanned, fueling urban sprawl as well as the continuous growth of informal settlements with inadequate living conditions.

Well-planned urbanization, resulting in efficient and more equitable cities and towns, can help drive the sustainable development agenda towards social and cultural change, environmental protection and economic growth. This is acknowledged in the New Urban Agenda, adopted by UN member states at the Habitat III Conference in Quito in 2016.

City-scale plans are the most fundamental and powerful tools governments have to steer cities toward sustainable development. These plans represent the translation of strategies and visions into a comprehensive set of guidelines, norms and rules. They regulate public and private action in the process of urbanization, identifying priorities, catalytic projects, infrastructure and facilities, as well as regulating the day-to-day private development actions. The quality and implementability of such frameworks determine to a large extent the quality of the urban development process in cities and its outcomes.

The Plan Assessment Tool (PAT) has been developed by UN-Habitat to help identify strengths and weaknesses of city-scale plans in a structured, objective and systematic fashion. The tool assesses the ability of the plan to realize the objectives of sustainable development, its ease of use, coherence with the broader planning framework, and consistency for future implementation.

Well-planned and well-governed cities can address issues related to poverty, social exclusion and spatial inequality, enhance shared prosperity, protect the natural environment, and also be resilient in the face of crises. The Plan Assessment Tool will bring awareness about the basic principles that a city-scale plan must include to achieve these goals, as building blocks of a more sustainable, integrated and resilient city.

I am certain that this Tool will be immensely useful to urban practitioners, decision makers and urban planners, but also to citizens that want to learn more about their cities and sustainable planning. It will allow them to better assess the existing plans and identify pathways to improve the quality of urban planning towards prosperous and resilient communities and cities. The Tool will also help creating awareness about the challenges and actions needed for achieving more sustainable cities and will be a contribution towards the realization of the Sustainable Development Goals and implementation of the New Urban Agenda.



**Ms. Maimunah Mohd Sharif**

United Nations Under-Secretary General and Executive Director  
UN-HABITAT



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# Table of contents

Foreword .....	iii
<b>1. INTRODUCTION .....</b>	<b>2</b>
1.1 Introduction to the PAT .....	3
<b>2. THE CITY-SCALE PLAN ASSESSMENT TOOL (PAT) .....</b>	<b>6</b>
2.1 Purpose of the Plan Assessment Tool .....	7
2.2 Application of the Plan Assessment Tool .....	7
2.3 Who can use the Plan Assessment Tool? .....	7
2.4 How to use the Plan Assessment Tool? .....	8
2.5 Reference and link to other UN-Habitat Assessment Tools .....	8
2.6 Limitations of the Plan Assessment Tool .....	9
<b>3. PLAN EVALUATION .....</b>	<b>12</b>
3.1 Plan Comprehensiveness .....	15
3.2 Plan Articulation .....	25
3.3 Plan Implementability .....	41
<b>4. INTERPRETING THE RESULTS .....</b>	<b>48</b>
4.1 Understanding the Results of the Evaluation .....	49
4.2 General Conclusions of the Evaluation .....	50
<b>5. ANNEX: THE PLAN ASSESSMENT TOOL .....</b>	<b>52</b>
<b>6. REFERENCES .....</b>	<b>64</b>
6.1 References .....	65
<b>7. LIST OF PHOTOGRAPHS .....</b>	<b>68</b>
7.1 List of Photographs .....	69



A section of Medellín town in Colombia © Julius Mwelu UN-Habitat



# 1. INTRODUCTION

## 1.1 Introduction to the PAT

City governments globally rely on Master Plans to plan their cities. A plan is a collection of strategic policies that guide urban development in a sustainable form. While the traditional and static planning document is slowly making way for more dynamic plans on interactive media, the purpose of the plan remains unchanged — to plan, control, develop, and regulate growth of a city and its surrounding areas. The Plan provides a common framework for regulating public and private action in the process of urbanisation and lists priorities for catalytic projects, infrastructures, and facilities.

Plans are mostly prepared for 5-, 10-, or 20-year planning periods depending on the type and purpose of the plan. Once prepared, the plans are seldom assessed or monitored to check the validity of the plan over the years or its successful implementation. The Plan Assessment Tool is designed to reflect and assess the plan in its current state for its comprehensive coverage of topics, clarity in articulation, and ease of application and implementation. The assessment can reveal the strengths and weaknesses of the plan that have an impact on its influence over the development of the city and the development of future plans.

The tool upholds the values and objectives outlined in the New Urban Agenda and the UN Sustainable Development Goals (SDGs). The New Urban Agenda outlines the way planning of cities can help achieve the Sustainable Development Goals. It lists the principles, guidelines and practices to implement actions on the ground that aim to reduce inequality, promote sustained, inclusive and sustainable economic growth, improve health and increase the resilience of urban areas. The following Sustainable Development Goals are directly impacted by the PAT:

- SDG 10: Reduce inequality within and among countries
- SDG 11: Make cities and human settlements inclusive, safe, resilient, and sustainable
- SDG 16: Promote peaceful and inclusive societies for sustainable development, provide access to justice for all, and build effective, accountable and inclusive institutions at all levels.

### 1.1.1 UN-Habitat's Guiding Principles for Neighborhood and City Planning

In recent decades, the landscape of cities has changed significantly because of rapid urban population growth. A major feature of fast-growing cities is urban sprawl, which drives the occupation of large areas of land and is usually accompanied by many serious problems including inefficient land-use, high car dependency, low density and high segregation of uses. Coupled with land-use speculation, current models of city growth result in fragmented and inefficient urban space where the urban advantage is lost.

Cities of the future should build a different type of urban structure and space, where city life thrives and the most common problems of current urbanisation are addressed. UN-Habitat proposes an approach that summarizes and refines existing sustainable urban planning theories to help build a new and sustainable relationship between urban dwellers and urban space, and to increase the value of urban land. This approach is based on five principles that support three key features of sustainable neighbourhoods and cities: compact, integrated, and connected.

- Promote high density urban growth, alleviate urban sprawl and maximize land efficiency.
- Promote sustainable, diversified, socially equal and thriving communities in economically viable ways.
- Encourage walkable neighbourhoods and reduce car dependency.
- Optimise use of land and provide an interconnected network of streets which facilitate safe, efficient and pleasant walking, cycling and driving.
- Foster local employment, local production and local consumption.
- Provide a variety of lot sizes and housing types to cater for the diverse housing needs of the community, at densities which can ultimately support the provision of local services.
- Protect and restore natural environmental systems to build urban resilience and create healthier living conditions for all species.









# 2. THE CITY- SCALE PLAN ASSESSMENT TOOL (PAT)

## 2.1 Purpose of the Plan Assessment Tool

### 2.1.1 Self Assessment of Existing Plans

Most cities plans build upon existing plans or synthesize information that is available in a piecemeal manner or as anecdotal evidence. This Tool specifically helps assess the city-scale plan, the various sectoral aspects as well as the proposed strategies within it. The assessment provides a good starting point for developing future plans taking forward the vision highlighted in it without restarting the whole process through the identification of strengths to build upon and gaps to be further investigated. Hence, the assessment is best suited to evaluate a completed plan.

### 2.1.2 Assessment of Ongoing Planning Process

In some cases, the PAT can also be used as a checklist during an ongoing plan development process to ensure the city-scale plan is complete, thorough, and integrated. In this case, the plan must aim to touch upon all the requirements (relevant to the city context) at the bare minimum and to build upon certain aspects in detail wherever needed. Once the plan is completed, the PAT should be revisited to ensure alignment.

## 2.2 Application of the Plan Assessment Tool

This tool is most suitable for small- to medium-sized cities where a single plan can cover all topics as well as geographic areas. A city that is in its nascent stages of the planning process is ideal for using this tool. Secondary cities and cities with scarce in-house technical capacity can greatly benefit from the guidance offered by the PAT.

City plans are generally referred to by different names in different parts of the world. In the United States, the City-Scale Plan is usually called a 'General Plan', whereas in Kenya, it is referred to as the 'Integrated Strategic Urban Development Plan'. Some common nomenclature for city-wide urban plans is listed below:

- Master Plan
- Municipal Plan

- Urban Development Plan
- Strategic Plan
- Integrated Development Plan
- Comprehensive Plan
- General Plan
- City Structure Plan
- Spatial Development Strategy
- Strategic Spatial Framework

Regardless of the name, this tool is designed to assess city-scale plans that include urban development strategies and policies covering social, economic, spatial and environmental aspects of the city.

## 2.3 Who can use the Plan Assessment Tool?

The Plan Assessment Tool is designed to help city governments, ministries, consultants, and planning professionals assess current, existing, or under-development city-scale plans in the developing world. Urban enthusiasts with a basic knowledge of city functions can also use this tool for a rapid assessment of their city's plan without advanced technical know-how.

The assessment is aimed to help identify strengths and weaknesses of the plan that can be improved upon in the next update to the plan. The city must have a finished plan product or at least an ongoing planning process that can leverage the criteria of the PAT to create a final comprehensive plan output.

## 2.4 How to use the Plan Assessment Tool?

The PAT is a tool for the evaluation of an existing plan. While the tool mostly assesses the final plan product, prior knowledge of the plan preparation process, data availability, and background knowledge of the city can be useful in making an informed assessment. As mentioned earlier, the aim of the tool is to identify strengths and weaknesses of the current plan, and not just to give a final score to a plan. Additionally, and most importantly for under-resourced contexts, the PAT constitutes a means of guidance and control for the elaboration of a new plan. In that sense the PAT represents both a practical and aspirational checklist of the fundamental elements required in

a city-scale plan and its overall approach toward sustainability. The PAT can also be considered as a divulgative tool; a different way to create awareness on planning and 21st century urban challenge

### 2.4.1 Scoring Criteria

Each indicator is scored from 0 to 2, with 0 being the lowest, and 2 being the highest. There are 75 indicators allowing a maximum score of 150. The scores will help to identify strengths and weaknesses of the current plan, and can be illustrated using charts to assess the findings and draw conclusions.

## 2.5 Reference and link to other UN-Habitat Assessment Tools

### 2.5.1 Legal Assessment Tool

The Planning Law Assessment Framework, developed by the Policy, Legislation and Governance Section of UN-Habitat, is a quick self-assessment tool that aims to identify the strengths and weaknesses of an urban planning law. It looks at the laws, regulations and decrees that are applicable in a city, and enacted at different levels<sup>1</sup>.

### 2.5.2 A Practical Guide to Designing, Planning, and Executing Citywide Slum Upgrading Programmes

This Guide advocates for a citywide approach to slum upgrading, which represents a fundamental shift from piecemeal project interventions to a citywide programme approach. This Practical Guide is part of a trilogy on citywide slum upgrading that includes Streets as Tools for Urban Transformation in Slums: A Street-led Approach to Citywide Slum Upgrading and A Training Module for Designing and Implementing Citywide Slum Upgrading. With the other two partner publications, the Practical Guide provides an accessible tool for practitioners, leading them through UN-Habitat steps towards a successful citywide slum-upgrading program<sup>2</sup>.

### 2.5.3 An Incremental and Participatory Planning Tool

The Participatory Incremental Urban Planning (PIUP) Toolbox is a step-by-step methodology to assess, design, operationalize and implement urban planning processes. This means that by following the proposed timeline of phases, blocks and activities, the toolbox helps the different urban stakeholders to better understand urban planning processes and to assess at which stage they need to participate to ensure that their voices are heard and their interests considered as part of the city's vision, policies, guidelines, strategies, plans and projects<sup>3</sup>.

1 [https://unhabitat.org/sites/default/files/download-manager-files/1531834456wpm\\_Planning%20Law%20Assessment%20Framework.pdf](https://unhabitat.org/sites/default/files/download-manager-files/1531834456wpm_Planning%20Law%20Assessment%20Framework.pdf)

2 <https://unhabitat.org/a-practical-guide-to-designing-planning-and-executing-citywide-slum-upgrading-programmes>

3 <https://unhabitat.org/participatory-incremental-urban-planning-toolbox-a-toolbox-to-support-local-governments-in>

## 2.6 Limitations of the Plan Assessment Tool

While the PAT is not all-encompassing, it can be a comprehensive, first assessment of a city-scale plan.

- It is a tool meant for city-wide urban plans. While some cities around the world are adopting more localized, neighbourhood level plans, small- to medium-sized cities in the developing world are at the nascent stages of having a formal planning document at city scale that can facilitate growth, development and access to funds for transformational projects.
- Larger metropolises with city wide plans might be beyond the scope of this assessment tool as usually involve a higher level of complexity and entails factors not encompassed in the PAT. In addition, metropolises usually address the complexity of different planning topics with a number of sectoral plans linked together and not through a stand-alone document
- Neighbourhood/local plans are beyond the scope of this tool, as these usually require more in depth analysis and can be assessed with other existing tools such as LEED for Neighborhood Development, BREEAM (a sustainability assessment method for city-scale planning projects, infrastructure and buildings), etc.
- The PAT has been designed to be a first assessment that requires only a good knowledge of the document (the “Plan”) and some basic technical skills in planning and urbanisation process. Further and more in-depth analyses that would require specific measurements and technical resources (for example use of GIS software) have been voluntarily avoided in order to make the tool as universal and user-friendly as possible..
- The PAT is a “document specific” tool and cannot duly assess the entire planning framework, that usually is context specific and can vary in forms and names from country to country. Some indicators attempt to cover these relations to some extent, but with limitations (example “Coherence to higher planning hierarchy” indicator)





*An overview of Rio de Janeiro, Brazil © UN-Habitat Julius Mwelu*





# 3. PLAN EVALUATION

### 3.1 Framing the criteria

#### 3.1.1 Sections/ Parts

- Plan Comprehensiveness

The first section of the PAT assesses the structure of the plan, its comprehensive coverage of topics, ease of use, and the processes adopted for plan preparation. This section focuses more on the process and data to ensure that the plan is based on evidence and on a participatory process, and is relevant to the specific time and place. **This section addresses the “what” and “why”.**

- Plan Articulation

The second section of the PAT focuses on the content of the plan itself. It is subdivided into four themes to ensure a comprehensive coverage of all necessary topics. These entail social, economic, physical, and environmental aspects. This section delves deeper into both the analysis and proposed policies for the appropriate management of the future growth of the city. **This section addresses the “how”.**

- Plan Implementability

The final section of the PAT assesses the feasibility of the plan, its adherence and compliance with the financial and legal frameworks of the city and the coherence between objectives and their implementability on the ground. It includes monitoring and evaluation aspects, as well as the accessibility of the final plan and actionable policies to implement the plan. **This section also addresses the “how”.**

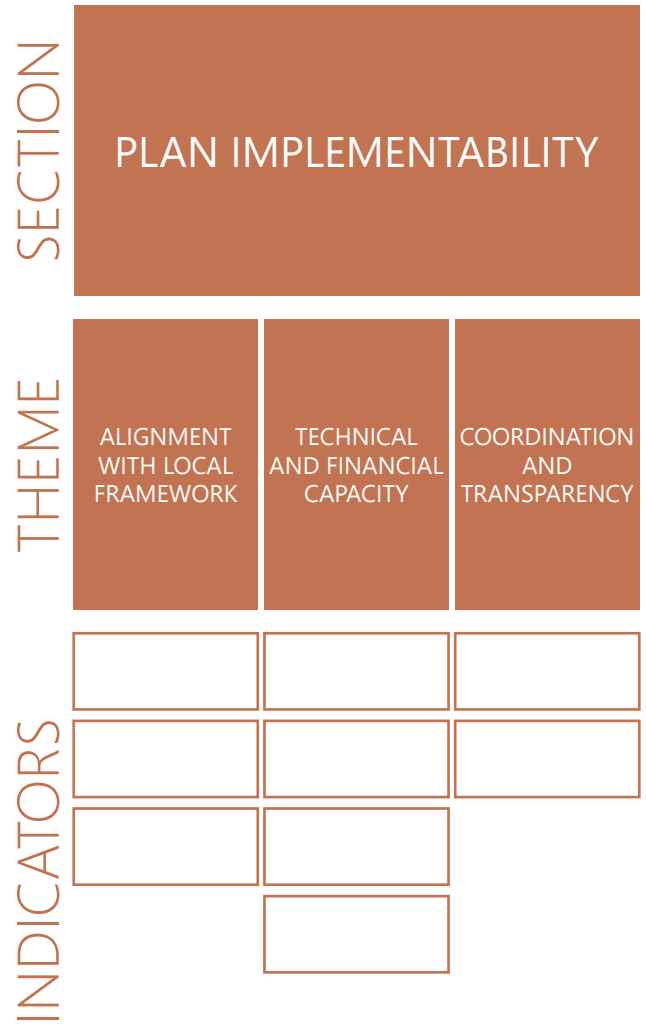
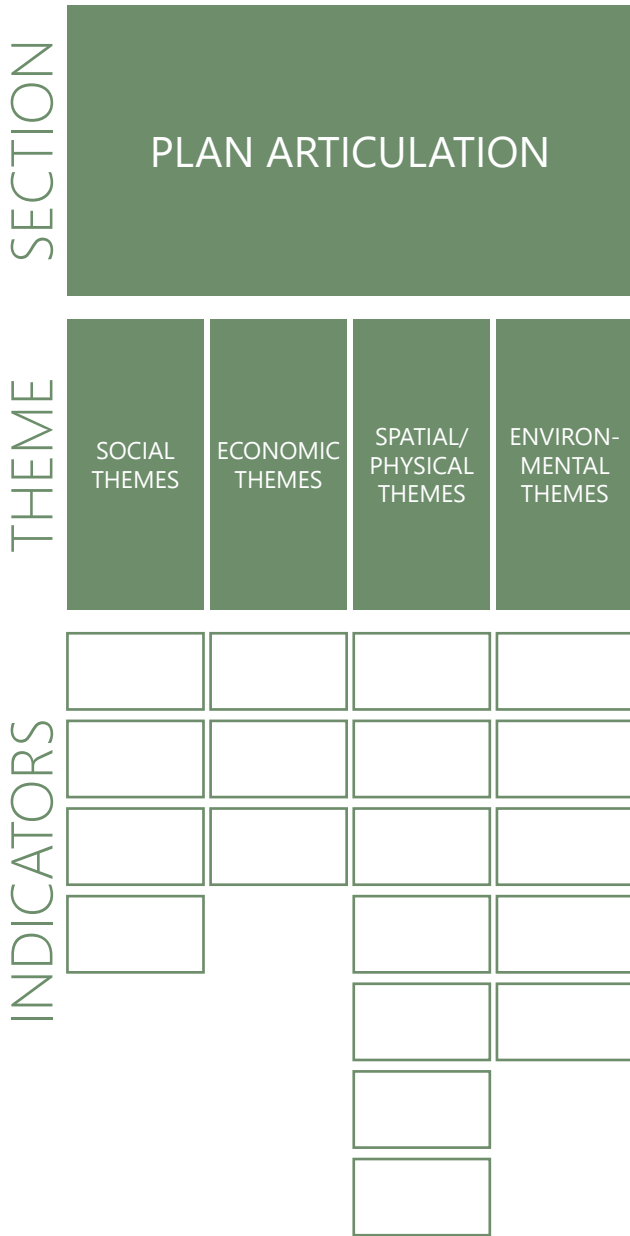
#### 3.1.2 Themes

Each section or part is divided into different themes which include indicators for assessment. Each theme combines indicators that are interconnected.

#### 3.1.3 Indicators

The PAT includes 54 indicators that the plan is assessed on. The indicators are bundled together based on similar themes

SECTION	PLAN COMPREHENSIVENESS			
	THEME	PLAN CLARITY	DATA-BASED PLAN	INCLUSIVITY OF THE PROCESS
INDICATORS				



PLAN COMPREHENSIVENESS



Participatory planning of public spaces at Kalobeyei, Turkana Kenya 2019 © UN-Habitat Bernard Heng

## Plan clarity



### • COHERENCE TO PLANNING HIERARCHY

A city is a collection of smaller local planning efforts usually functions as a connected entity in the larger regional scale. As a result, a city-scale urban plan must align with the national and regional level plans and policies that should reflect at the local scale as well. The success of a plan depends on its coordinated efforts within the region with a clear demarcation of roles and responsibilities. Consistency in planning policies across the vertical scales reduces ambiguity, conflicts, and ensures a smooth transition into the actual implementation of the plan.

Indicator	0	1	2
<b>Coherence to higher planning hierarchy</b>	The plan does not refer to other planning documents (at same, higher and lower scale), and/or does not have any coherence	The plan refers to some other planning documents, but lacks direct coherence	The plan is fully in alignment with other planning documents and is in direct coherence

Reference to New Urban Agenda: artt. 15.c.i, ii and iii.; 47; 86; 87; 90 and 96.

## • PLAN COVERAGE

A well-drafted planning document clearly outlines the boundaries of the planning area’s extent. Establishing a boundary is crucial for administrative purposes as well as for clarifying the applicability of the plan’s policies and strategies. This helps to manage growth and control development on city parcels. Most often, the perceived boundary of a city is not aligned with the administrative boundary of the city, which may or may not include some peripheral or historic settlements or villages. Hence a plan must clearly delineate its coverage area in numbers and through maps including clearly defined built and unbuilt footprints.

Indicator	0	1	2
<b>Plan coverage</b>	The plan does not define or is unclear in its geographic coverage	The plan somewhat defines the geographic extents of its coverage but is inconsistent	The plan clearly defines its geographic coverage and the settlements included or excluded in the plan

## • COHERENT VISION, GOALS AND OBJECTIVES

A plan is first and foremost a synthesis of a vision shared and owned by the city. A vision must be grounded and reflective of local voices expressed in a succinct form that is easily comprehensible to all. All the guidelines stated in the plan must contribute to achieving this vision by the established timeframes. The lack of a clearly stated vision will lead to ambiguity and uncoordinated planning efforts which in the long run are destined to be unsuccessful.

The vision is often a broad statement that can be abstract in and of itself. The vision must be supported by clearly stated goals, taking into account a city’s capacity and feasibility of proposed projects and have defined objectives right at the outset of the plan. At its best, the plan’s implementation should be in line to achieve the vision and goals.

Indicator	0	1	2
<b>Vision, goals, and objectives</b>	The plan does not define a clear vision nor lists clear goals and objectives	The plan partly defines a clear vision and lists some goals and objectives to realize the vision	The plan very clearly defines the vision and lists coherent goals and objectives to realize the vision
<b>Coherence between general objectives and proposed guidelines</b>	The plan does not demonstrate coherence between objectives and proposed guidelines	The plan partly demonstrates coherence between objectives and proposed guidelines, but does not include impact assessments of projects on vulnerable groups	The plan very clearly demonstrates coherence between objectives and proposed guidelines, and requires impact assessments of projects on vulnerable groups

## • EASE OF USE

A plan is a detailed assessment of the current conditions and the future planning strategies that are meant to guide development and growth. As a result, the plan can be a lengthy, cumbersome, and an esoteric document that is difficult to access, navigate, and comprehend. The success of a plan is measured by its ease of use by end users, who are often developers and citizens. The plan must be simple, user-friendly, and straightforward in order to be effective in its application. This includes clear definitions of concepts and terms used in the plan, along with verified statistics and legible graphics and charts.

Indicator	0	1	2
<b>Ease of use</b>	The plan does not clearly define concepts, uses complex technical terminology and does not include legible visual elements	The plan defines most concepts, limits the use of technical terminology and includes some legible visual elements	The plan clearly defines concepts and technical terminology and includes ample legible visual elements, making technical concepts universally accessible

## • COHERENCE WITH SECTORAL PLAN (IF ANY)

Cities of a certain size would in most cases require specialized plans to address challenges across different sectors. For example, a city may choose to address the issue of transport in a separate sectoral plan in the form of a "Mobility Plan" or an "Urban Transportation Plan". In such cases, the city-scale plan must acknowledge, relate to and align with the policies stated in the sectoral plan to coordinate planning efforts. Some cities may choose to draft separate housing or environmental plans and some may be mandated by law to address these concerns in a designated manner outside of the city-scale plan.

Indicator	0	1	2
<b>Coherence with sectoral plans</b>	The plan does not acknowledge sectoral components at all	The plan acknowledges a series of sectoral components but aligns with only a few of them	The plan clearly acknowledges sectoral components and coherently aligns with all of them

Reference to New Urban Agenda: art. 88

## • RELEVANCE AND TIMING

Often times, the planning framework of a city requires the municipality to prepare a plan every 20 years that is updated every 5 years. This ensures that the plan remains relevant and is reflective of the city's current needs and aspirations while addressing future growth. However, most cities due to a lack of capacity, resources, and will often do not update plans in a timely manner. As a result, the plan becomes outdated and the data is not an accurate reflection of the existing conditions of the city. Since the plan is a guide directing future growth of the city, it must be updated and amended to reflect the changing urban dynamics.

Indicator	0	1	2
<b>Relevance and timing</b>	The plan is outdated and does not reflect the current needs of the city	The plan has been regularly updated but only reflects some of the current needs of the city	The plan clearly reflects current conditions and appropriately addresses future growth



## • LAND OWNERSHIP (CADASTRAL) DATASETS

This dataset includes details of land ownership, along with the size, dimensions, location, use, and the value of parcels. A good cadastral dataset can form the basis of a thorough planning analysis as the city plans for growth and manages development on existing parcels as well as new parcels in extension areas.

Indicator	0	1	2
<b>Land ownership/ cadastral data</b>	The plan does not include any information regarding land ownership or cadastral data	The plan includes most land ownership and cadastral data, but it is still incomplete and not up to date	The plan includes complete, correct and up-to-date land ownership data and cadastral datasets

Reference to New Urban Agenda: art. 104, 134

## • BUILT-FORM DATABASE

Physical or human-made datasets include building structures, land use, and other physical layers related to the built form. It is also important to do a temporal scan of the city to see how the urban form has evolved and grown over time and shaped the city in its current state.

Indicator	0	1	2
<b>Morphological or physical data</b>	The plan does not include any information regarding the morphology or physical features	The plan includes some morphological data but is incomplete and not up to date	The plan includes complete, correct and up-to-date morphological and physical data

Reference to New Urban Agenda: art. 111

## • NATURAL FEATURES AND TOPOGRAPHICAL DATASETS

Natural elements include topography, hydro-geological datasets including the natural features on the surface and at subterranean levels. Soil conditions, the flow of water and location of geologically sensitive sites is useful in conducting suitability analysis of the various city regions before planning and allocating land uses.

Indicator	0	1	2
<b>Natural features and topographical data</b>	The plan does not include any information regarding natural features and topographical data	The plan includes natural features and topographical data but is incomplete and not up to date	The plan includes complete, correct, and up-to-date natural features and topographical data



## • RISKS ASSESSMENTS DATASETS

Cities are highly vulnerable to disaster and climate hazards, putting large populations of people at risk of losing assets and livelihoods. The plan should identify the potential risks a city faces so as to effectively plan for mitigation and protection measures against damage and loss of life. Risks such as earthquake fault lines, floods, steep slopes, wetlands, erosion/deforestation, wildfires, hurricanes etc. should be identified with respect to distribution of population and the vulnerable groups. Other threats to the city in the form of land, water, air or noise pollution should also be included. Their accurate mapping must underline and inform the structural decisions of the plan.

Indicator	0	1	2
<b>Risk data</b>	The plan does not include any information regarding disaster-prone areas and risk assessments	The plan includes some disaster and climate risk data but is incomplete, vague or not up to date	The plan includes complete and accurate disaster and climate risk data

Reference to New Urban Agenda: art. 65, 77, 101, 104

## • DEMOGRAPHIC/CENSUS DATASETS

Cities will be able to successfully implement a city plan if the guidelines meet the present and future needs and aspirations of different people. And populations in a city are constantly changing through natural births and deaths, and through internal and external migration. A thorough understanding of the residents' age, occupation, level of education, household structure, income levels and living arrangements can help a city plan for adequate health, education, housing and economic facilities required in the future and their spatial distribution to ensure an equal and inclusive society.

Special emphasis must be given to the inclusion of vulnerable or minority groups in the planning and decision-making processes to ensure a just and equitable city. Wherever applicable, the plan must also include the refugee, migrant or floating population as it has a significant impact on the dynamics of the city and the management of resources.

Indicator	0	1	2
<b>Demographic data</b>	The plan does not include any information regarding the demographic composition of the city	The plan includes demographic data but is incomplete, vague or not up to date	The plan includes complete, correct and up-to-date demographic data

Reference to New Urban Agenda: art. 159

## • UTILITIES AND SERVICES DATASETS

Utilities and services form the functional system of networks through which the city operates. Due to limited resources, cities often struggle with the provision and management of utility systems to respond to the changing demands of residents. Mapping the location and status of existing utilities and services in the city is useful to identify infrastructure that needs to be replaced or upgraded, gaps and necessary extensions in service provisions. Utilities include the following sectors and are managed by separate municipal boards or service providers:

- Water supply and management
- Power supply and management
- Solid waste management
- Drainage
- Sewage
- ICT (Information, Communication, Technology)
- Emergency response systems

Indicator	0	1	2
<b>Utilities and services data</b>	The plan does not include any information regarding utilities and services	The plan includes utilities and services data but is incomplete, vague and not up to date	The plan includes complete, correct and up-to-date utilities and services data

Reference to New Urban Agenda: art. 25, 29, 65, 70, 85, 91, 99

## • PUBLIC FACILITIES DATASETS

Public facilities are the places, amenities, or equipment provided for a particular purpose by the city government to ensure a good quality of life to its citizens. The city must ensure that the public facilities are adequate, available to everyone and well maintained. Public facilities in a city may include:

- Educational facilities: include primary, secondary, and high schools, universities, research institutes
- Health facilities: include clinics, hospitals, specialty labs
- Administrative (governmental) facilities: include public libraries, town halls, government offices and facilities
- Cultural (Institutional) facilities: include performing arts venues, theatres, conventional centres, exhibition halls, museums, monuments, community centres
- Recreational (Sports/ parks) facilities: include neighbourhood and community parks, sports complexes, public plazas
- Safety facilities: include fire, police, emergency/ evacuation, refuge areas
- Religious facilities (optional): include places of worship, places of historic importance

Indicator	0	1	2
<b>Public facilities data</b>	The plan does not include any information regarding public facilities	The plan includes information on public facilities data, but it is incomplete	The plan includes complete, correct and up-to-date public facilities data

Reference to New Urban Agenda: art. 101

## • HOUSING DATASETS

Shelter is one of the basic human needs, but the provision of adequate, affordable, and good quality housing is a challenge for most urbanising settlements. A city plan must document the current housing stock, the quality of the housing stock and identify gaps in the housing demand versus supply for the city.

Many urbanising cities in the developing world meet their housing needs in the form of informal settlements<sup>1</sup>. While it's hard to officially document numbers in informal settlements, the plan must identify the location and the exposure to risk faced by the residents of these settlements, often located along the fringes of the city or on vulnerable land susceptible to natural and man-made hazards. Mapping informal settlements, from their location to their condition, will help guide and prioritize decision-making towards meeting housing demand either through upgrading facilities in existing settlements, or through formal housing schemes.

Indicator	0	1	2
<b>Housing datasets</b>	The plan does not include any information on housing and informal settlements	The plan includes data on housing and informal settlements but is incomplete	The plan includes complete, correct and up to date housing and informal settlements data

Reference to New Urban Agenda: art. 31, 32, 33, 99, 104

<sup>1</sup> Informal settlements – are residential areas where 1) inhabitants have no security of tenure vis-à-vis the land or dwellings they inhabit, with modalities ranging from squatting to informal rental housing, 2) the neighbourhoods usually lack, or are cut off from basic services and city infrastructure and 3) the housing may not comply with current planning and building regulations, and is often situated in geographically and environmentally hazardous areas. In addition, informal settlements can be a form of real estate speculation for all income levels of urban residents, affluent and poor. Slums are the most deprived and excluded form of informal settlements characterized by poverty and large agglomerations of dilapidated housing often located in the most hazardous urban land. In addition to tenure insecurity, slum dwellers lack formal supply of basic infrastructure and services, public space and green areas, and are constantly exposed to eviction, disease and violence (Derived from: UN-Habitat (2003), The Challenge of Slums; UN-Habitat (2013); Issue Paper No.9 on Land for 'security of tenure' definition; World Bank (2008); Approaches to urban slums; UN-Habitat (2015), Streets as tools for urban transformation in slums; Cities Alliance (2010), Building Cities; Cities Alliance, World Bank and UN-Habitat (2002), Cities without Slums).

• **ECONOMY DATASETS**

Cities are significant economic contributors to the regional and national economy by bringing together people, services and creating an environment conducive to businesses. A plan must include data regarding the GDP of the city, highlighting the main commercial and industrial sectors contributing to the economy. The plan must also address employment rates in the city, map number and location of current businesses and jobs as well as future potential to accommodate the projected growth. Economic data is the direct and most tangible output to assess a city’s prosperity and helps a city strategize and access future funding to implement its vision.

Indicator	0	1	2
<b>Economy data</b>	The plan does not include any information regarding economic activity of the city	The plan includes economic data but is incomplete	The plan includes complete, correct and up to date economic data including employment data

Reference to New Urban Agenda: art. 46, 47, 48, 56, 59



## • PARTICIPATORY PROCESS IN DOCUMENT REDACTION

The importance of a participatory process in the production of a plan cannot be emphasized enough. A plan is most successful when it includes all members of the community in its formulation and in turn the community shares ownership of the plan. The process of plan preparation must engage as many diverse users as possible from the community through various formats such as workshops, interviews, focus groups, exhibitions, town halls, and charrettes. Ensuring representation from civil society (of all age, income, gender groups), business owners, developers, government officials and technical experts will allow a range of perspectives and encourage a dialogue for the most suitable outcome

Indicator	0	1	2
<b>Participatory process in document redaction</b>	No participatory process	The planning process includes community engagement and soliciting inputs, but they haven't been included in the redaction of final document	The document has been co-produced with citizens and their inputs have been substantially included in the redaction of final document

Reference to New Urban Agenda: art. 13b, 13c, 16, 86, 90, 91, 92, 97, 105, 153, 154, 155.

## • PARTICIPATORY PROCESS IN DOCUMENT APPROVAL

In most countries, the plan is a legal document and is required to be publicly presented in front of an 'assembly' or a 'council' before it can be endorsed or adopted. These council/ assembly meetings are presided over by elected representatives who endorse the progress of the plan and ensure that it is moving in the appropriate direction. The plan is assumed to have gone through a thorough public participation process and once it has met all the criteria mandated by law, is adopted by the city.

Indicator	0	1	2
<b>Participatory process in document approval</b>	The final plan as not been publicly presented/ approved through a participatory process	The final plan has been fully presented to citizens but they were not involved in formal approval process	The final plan has been presented and approved through an inclusive and thorough participatory process

Reference to New Urban Agenda: art. 13b, 13c, 16, 86, 90, 91, 92, 97, 105, 154, 155.

# PLAN ARTICULATION



Community members in Mathare slum, Nairobi, Kenya during COVID-19 - May 2020. @UN-Habitat Kirsten Milhahn

## Social Themes



### • AFFORDABLE HOUSING

The plan must unpack and proactively tackle the notion of 'affordability' in the context of the city. The plan must clearly state the target audience for affordable housing and list the parameters defining affordability (e.g. income, age, size of household, or size of home). The plan must then address the need for affordable housing and outline policies to ensure that affordable housing demands are met in the city including incentives for developers to provide affordable housing.

Indicator	0	1	2
<b>Affordable housing</b>	The plan does not define or include any guidelines on affordable housing	The plan includes information regarding affordable housing and defines parameters for affordability but lacks clear guidelines or strategies to meet the forecasted housing demands	The plan includes a clear definition and analysis of affordable housing and adequate guidelines or strategies to meet the forecasted housing demands.

Reference to New Urban Agenda: art 32, 33

## • DIVERSITY OF HOUSING TYPES

A diverse city must respond to the varying range of citizens’ needs, providing its residents with a variety of housing types and tenure options. In this regard, the three main concepts to take into account are:

- Tenure: Housing tenure is defined as the legal status of the land or home currently under occupation. The housing market has traditionally been treated as binary- ownership and rental housing. But this approach often leaves gaps in the markets that are filled by hybrid models within the spectrum.
- Size: Ensuring the house sizes respond to the needs of the market is a critical element of an inclusive plan. Each demographic requires differently sized homes.
- Density: Housing types can also be identified using density in the form of dwelling units per hectare. This density is usually linked with the types of houses such as single-family, mixed-income low rise, and high-rise developments such as in downtown districts.

Indicator	0	1	2
<b>Diversity of housing types</b>	The plan does not address diverse housing needs	The plan somewhat addresses the need for diverse housing typologies but lacks clear strategic directions	The plan addresses the need for diverse housing typologies and provides incentives to meet future needs through clear strategies

Reference to New Urban Agenda: art. 32, 33

## • INFORMAL HOUSING

The growth of informal settlements in the form of slums, or poor residential neighbourhoods is a common phenomenon in rapidly urbanising areas of the developing world. Inhabitants of informal settlements usually lack legal rights with an increased risk of evictions, and also lack access to basic services and quality construction. Many of these settlements help fill the gap in the inadequate formal housing market, so should be recognised as essential components of the city.

To ensure exhaustive/comprehensive housing strategies, the plan must identify informal settlements and outline strategies that help improve the current state of residents. This includes guidelines for improving living conditions of informal areas that will contribute to the overall prosperity of the city. Where this is not possible (e.g. areas subjected to high environmental risk), appropriate resettlement plans and/or fair compensation policies should be set in place.

Indicator	0	1	2
<b>Informal housing</b>	The plan does not address informal housing	The plan addresses informal housing but lacks clear strategic directions	The plan addresses informal housing and includes strategies to improve the conditions of these settlements

Reference to New Urban Agenda: art. 25, 27, 54



## • DISTRIBUTION AND ACCESS TO BASIC SERVICES

While most local governments are responsible for providing basic services such as clean water, sanitation, health, and education equally to all their citizens, these services do not always reach all populations on the ground. This unequal distribution of services acts as an impediment to achieve sustainable and inclusive cities (SDG 11). The plan should identify gaps in distribution of basic services and utilities in the city and propose strategies to ensure equitable access to all citizens.

Indicator	0	1	2
<b>Distribution and access to basic services</b>	The plan does not address provision of basic services and utilities	The plan addresses distribution of and access to services/ utilities but is incomplete and/or inadequate to meet the needs of the residents	The plan addresses distribution of and access to basic services and includes comprehensive guidelines or directions to bridge the gap

Reference to New Urban Agenda: art. 25, 29, 65, 70, 85, 91, 99



## • COMPREHENSIVE ECONOMIC STRATEGY

Cities globally are the primary drivers and contributors to economic prosperity. However, they also beget inequality in the distribution of wealth and opportunity. The economic strategy of a city must identify guidelines to balance and equitably distribute opportunities to support new businesses and create new job opportunities for the inhabitants. An inclusive economic strategy should cater to high and low skilled jobs in diverse fields.

Indicator	0	1	2
<b>Comprehensive economic strategy</b>	The Plan does not target any economic strategy	The plan includes an economic strategy but lacks guidance on jobs and business opportunities	The plan includes a comprehensive economic strategy and guidelines targeting jobs and business opportunities

Reference to New Urban Agenda: art. 46, 47, 48, 56, 59

## • COHERENCE WITH NATIONAL AND REGIONAL LEVEL ECONOMIC GOALS AND STRATEGIES

Some cities play a strategic role in the national and regional set up by having geographic, scalar or agglomeration advantages. Some cities may lie on important economic trade routes or may host port facilities handling the imports and exports for the nation, or may be a touristic hub. A city's economic strategy must align with and strengthen its role in the larger regional context to achieve the overall national goals.

Indicator	0	1	2
<b>Coherence with national and regional level economic goals and strategies</b>	The plan does not consider the economic role of the city within its regional and national context	The plan's economic strategies align with some of the regional and national level economic goals	The plan's economic strategies are in coherence with the regional and national level economic goals

Reference to New Urban Agenda: art. 46, 47, 48, 56, 59

## • PROMOTION OF DIVERSE ECONOMIC ACTIVITIES

Often times, a city may choose a special economic focus like research, bio-medical, innovation, knowledge, or technology. Driven by a single-sector economy makes a city more susceptible to shocks and less resilient. For example, oil dependent economies struggle to cope when oil markets fluctuate and often lead to upheaval in daily life functions. Same is true for mineral rich economies. While these are helpful in making strategic investments and give a unique identity to a city, the plan must identify some supporting economic activities, so the city is not dependent on a single economic function. A diverse economic base thus makes a city's economy more resilient and ensures diversity in its job market and residents. A plan must propose strategies that incentivize diverse economic sectors and create a conducive environment for them to thrive.

Indicator	0	1	2
<b>Promotion of diverse economic activities</b>	The plan does not target economic diversification	The plan acknowledges the need for economic diversification but lacks clear strategic direction	The plan includes adequate and appropriate strategies for the city's economic diversification

Reference to New Urban Agenda: art. 46, 47, 48, 56, 59



## • LAND-USE

A land use plan is the basic form of development control allowing optimal use of land and management of limited resources. Traditional city plans define permissible uses on land as single, segregated uses. This was done to better manage the land and allow compatible uses to ensure the general welfare and avoid conflicts among private landowners. However, over time, principles of sustainable development have started encouraging mixed use in cities to ensure diverse and safe communities. It also prevents ambiguity among residents and developers who can make long term decisions and estimate the development potential and value of their property. The two indicators under land use include:

- Compatibility of land-use distribution: A plan must take into account compatibility of adjacent land uses to prevent any adverse effects like noise or traffic that lead to impairment of the quality of life, natural environment, enjoyment of property or safety of any person. Special uses like industries, waste treatment plants, airports etc. require buffers, special protection zoning and permitting, and restrictions on use, access, heights etc.
- Promotion of mixed land-use: Principles of sustainable development encourage cities to promote mixed land-use which blends uses like residential, commercial, cultural, and entertainment into one integrated urban environment that is connected via public transport and creates vibrant and diverse city spaces active throughout the day.

Indicator	0	1	2
<b>Compatibility of land-use distribution</b>	The plan does not consider the compatibility of land uses	The plan partially addresses land use compatibility but can be remedied or minimized through project design, such as traffic mitigation and/or building design and scale	The plan addresses compatibility of land uses through well-established land use and zoning policies
<b>Promotion of mixed land-use</b>	The plan does not include any guideline that promote mixed-use developments	The plan somewhat promotes mixed land-use by reducing single-uses but only in new growth/extension areas	The plan promotes mixed land-use through policies incentivizing mixed use in existing and new parts of the city, restricting single-use establishments to 10-15%

Reference to New Urban Agenda: art. 51, 69, 137

## • DENSITY

To prevent urban sprawl and to promote sustainable urban extension, it is necessary to achieve high density. Compactness is a means to reach a higher population density while ensuring maximum utilization of the limited resources. By concentrating people and resources in a smaller area, cities can reduce their carbon footprint and reduce the investment required by services to cover large distances. Cities may assess their optimal density standards and work progressively towards increasing density by incentivizing compact forms of development. UN-Habitat recommends, as a general value to be confirmed in each different context, an average density of 150 p/ha. The three indicators under compactness include:

- Densification strategies for a compact urban form: The plan must promote strategies for densification in identified locations that are accessible by public transport and can support higher densities within the city footprint. The Plan should include guidelines to up-zone neighbourhoods, essentially allowing more homes or amenities to be built on land previously allocated to smaller developments while ensuring that the benefits reach all members of the community. Compact forms of development also help mitigate the adverse effects like increase in traffic volumes or urban sprawl or leave serviced land vacant in high value areas. Developers may be incentivized by awarding density bonuses, relaxing parking requirements, providing new public services, encouraging land pooling, etc. to adopt high-density practices which make a city more sustainable.
- Coherence between densities and infrastructure capacities: Densification strategies must be accompanied by a proportionate increase in the services and infrastructure capacities of the area to ensure the smooth operations of the daily functions. Higher density developments usually require increase in service infrastructure, enhanced traffic management, adherence to different laws and zoning codes. Developers may be required to support the city in either providing the increased infrastructure on site or through other means such as exactions or impact fees.

Indicator	0	1	2
<b>Densification strategies</b>	The plan does not include any strategy on densification or incentives for compact development	The plan partly promotes densification and compact development, but the strategies and incentives are weak or unclear	The plan promotes densification and compact forms of development through clear and adequate strategies and incentives
<b>Coherence between densities and infrastructure capacities</b>	The plan does not relate infrastructure capacity with density	The plan somewhat considers the need to match infrastructure needs with increased density but the initiatives are weak or unclear	The plan addresses the capacity of infrastructure to serve increased urban densities through clear and adequate initiatives

Reference to New Urban Agenda: art. 51, 98

### UN Habitat’s spatial recommendations

There are many indicators that can be used to assess land-use, public space, minimum space for roads and green areas, public facilities, services and many others. Those indicators usually need contextualization and more detailed calculations, which is not the intention of this Tool.

There are many UN Habitat’s publications about good practices in urban planning and design which can be a baseline for the assessment of neighborhoods and urban areas. The following piece is from the **Economic Foundations for Sustainable Urbanization: A Study on the Three-Pronged Approach** (UN Habitat, 2017):

*“The five principles for the urban design suggested by UN-Habitat are accompanied by benchmarks indicating good performance:*

- *Adequate space for streets and an efficient street network: the street network should occupy at least 30 per cent of the land and at least 18 km of street length per km<sup>2</sup>.*
- *Adequate density: a city should have a density of at least 15,000 people per km<sup>2</sup>, that is 150 people/ha or 61 people/acre.*
- *Mixed land-use: at least 40 per cent of floor space should be allocated for economic use in any neighbourhood.*
- *Social mix: between 20 per cent to 50 per cent of the residential floor area should be for low-cost housing and each tenure type should be not more than 50 per cent of the total.*
- *Limited land-use specialization: single function blocks should cover less than 10 per cent of any neighbourhood.”*

## • HERITAGE AND CULTURAL PRESERVATION

Heritage can be defined as the tangible and intangible assets that are of immeasurable value to cultures and must be preserved for future generations. Heritage, as a form of expression and identity, binds cultures together and enriches the social domain. Heritage is also valuable in economic terms as it stimulates tourism and attracts global interest. It is therefore in the best interest of a city to preserve, restore, and promote its people’s historical and cultural resources. As a city plans for its sustainable growth, the heritage and cultural assets must be protected against encroachment, vandalism or exploitation for profit.

Indicator	0	1	2
<b>Heritage and cultural preservation</b>	The plan does not include any guidelines on heritage protection and cultural preservation	The plan somewhat includes guidelines on heritage protection and cultural preservation, but they are vague, unclear or inconsistent	The plan clearly defines guidelines to protect heritage and cultural assets and is accurate and up to date

Reference to New Urban Agenda: art. 60, 97, 124

## • PUBLIC SPACE

Public spaces are all places of public use, publicly or privately owned, accessible and enjoyable by all for free and without a profit motive<sup>1</sup>. Public space plays a crucial role in the economic and social well-being of citizens in urban contexts. Access to inclusive and well-designed public spaces has a direct impact on quality of life and also increases the value of land.

- Adequate land allocation for open space: The World Health Organization (WHO) recommends 9 sqm per capita and many parts of the world define minimum requirements for open space. The plan must clearly define the standards for allocating land for public space for different uses and densities in the city.
- Accessibility of public spaces: Accessibility of public space is an important consideration for inclusionary planning. Persons with different needs and abilities should be able to equally access public spaces to participate in the social and economic activities being offered by the city to its residents. The design and location of public spaces can be a critical factor in ensuring accessibility to all demographic groups.
- Design guidelines for public spaces: The quality of public spaces can be enhanced by the design of spaces taking factors such as landscaping, surface treatment, programming of uses, furniture, access, etc. into account. A plan can identify criteria for the design of public spaces or refer to a detailed plan/ document to ensure public spaces are optimised for use by all<sup>2</sup>.

Indicator	0	1	2
<b>Adequate land allocation for public spaces</b>	The plan does not address minimum public/open space requirements	The plan somewhat includes guidance for allocating land for public/open spaces, but they are vague, unclear or inconsistent	The plan defines clear guidance to allocate land for public space over the entire urban boundary
<b>Accessibility of public spaces</b>	The plan does not consider the accessibility of public spaces	The plan somewhat considers the accessibility of public spaces, but the guidelines are vague, unclear or inconsistent	The plan optimizes the accessibility of public spaces, through clear and adequate guidelines covering the entire urban boundary
<b>Design guidelines for public spaces</b>	The plan does not include any design guidelines for public space	The plan outlines design guidelines for public spaces but they are vague, unclear or inconsistent	The plan outlines comprehensive design guidelines for public spaces for diverse urban conditions

Reference to New Urban Agenda: art. 36, 37, 53, 97, 100

1 (Alexander Stähle, PhD and CEO Spacescape)

2 (Refer to Global Public Space Toolkit)

## • MOBILITY

Connectivity, of people and goods, forms the backbone of all movement patterns in a city.

- Multi-modal mobility: To reduce dependence on private automobiles for transportation needs, cities of all sizes are investing in multi-modalism. The citizens can choose from a variety of options to substitute their driving trips including non-motorised means. This shift, away from auto-oriented personal urban transportation, requires re-designing the streets as “complete” or “shared” streets with supporting ancillary infrastructure. Bike lanes, bus lanes, sidewalks with pick-up and drop-off points for shared travel are becoming an integral part of street design guidelines.
- Street hierarchy and network: A clear street hierarchy, based on the function the street is set to perform, helps ensure an efficient urban transport system. A street typology helps determine traffic flows, capacity, and connections for different kinds of trips across the city. For example, an arterial road is usually the main road designed to carry the biggest volume of movement in a city. They allow higher speeds and require a large right-of-way. In the same way, an access road is usually designed for local neighbourhood connections with greater emphasis on non-motorised modes of transport and infrastructure to help reduce speed. A plan must demarcate the street hierarchies and prescribe standards for each category.
- Public transport network: Some of the most livable cities across the world boast of a public transportation system that is reliable, with frequent service, affordable prices, and an extensive coverage across the region. Public transportation systems include buses, trolleys, light rail, metro, and ferries. For a public transportation system to be efficient, it must be integrated with other modes to ensure last mile connectivity and have seamless transfers between modes. The location of transit lines and transit stations has a major impact on the footfall and passenger trip counts as citizens are more likely to use public transport if it is within a 5 or a 10-minute walk. The plan must assess the existing network to propose new routes for the public transportation system in the city.
- Transit-oriented development (TOD): Transportation has a direct impact on the livability and quality of life of a city. To reduce private car trips, cities should create compact, walkable, pedestrian-friendly, and mixed-use neighbourhoods around transit stations. These locations become the most desirable places to live, locate businesses, and result in high real-estate revenues. TOD is gaining popularity as cities are moving towards sustainable living and reducing carbon emissions to combat climate-change.
- Pedestrian realm and network: A comfortable, safe, and active pedestrian realm is one of the most important aspects of urban life. Walkable neighbourhoods add vitality and diversity of residents, businesses, and users which support the social life and local economy of the area. Walkable neighbourhoods are also said to be more equitable catering to the needs of all types of residents. Block sizes are influential urban elements in creating pedestrian-friendly spaces. Superblocks function as a deterrent to pedestrians, offering little choice and increasing walking distances. Building heights and street widths are also design elements that help create a human-scale environment. Supporting infrastructure like wide sidewalks, pedestrian crossings, street furniture, street lighting, activated street fronts, introducing traffic calming measures are critical elements in enhancing the pedestrian experience and perceived safety in urban areas.
- Cycling network and routes: There are multiple economic, social, and physical benefits of cycling and cycling networks are becoming popular in cities as an integral part of urban transport. Safe and connected bike routes are necessary to encourage cycling among residents along with bike parking spaces, bike lanes, and signage. Bikeways are an affordable, efficient, and healthy alternative for cities and residents to move around.



Indicator	0	1	2
<b>Multi-modal mobility</b>	The plan does not include initiatives supporting multi-modal forms of transport	The plan somewhat includes initiatives supporting multi-modal transportation, but they are vague, unclear or inconsistent	The plan includes clear and adequate initiatives supporting multi-modal forms of transport
<b>Street hierarchy and network</b>	The plan does not identify a clear street hierarchy	The plan attempts to establish a street hierarchy but does not include any design standards	The plan establishes a clear street hierarchy with distinct design standards
<b>Public transport network</b>	The plan does not mention the existing or proposed public transportation system	The plan includes some strategies promoting public transportation, but they are vague, unclear or inconsistent	The plan includes strategies promoting the use of existing and proposed public transportation systems
<b>Transit-oriented development</b>	The plan does not promote transit-oriented development	The plan somewhat promotes transit-oriented development, but the guidelines are vague, unclear or inconsistent and/or not covering the whole city (b.e. retrofitting existent neighborhoods)	The plan promotes transit-oriented development in existing and planned areas through guidelines and incentives
<b>Pedestrian realm and network</b>	The plan does not include initiatives to enhance the pedestrian realm and network	The plan somewhat includes initiatives to enhance the pedestrian realm and network, but they are vague, unclear or inconsistent	The plan includes initiatives enhancing the pedestrian realm and network with detailed design guidelines
<b>Cycling routes and network</b>	The plan does not include initiatives to enhance the cycling routes and network	The plan somewhat includes initiatives to enhance the cycling routes and network, but they are vague, unclear or inconsistent	The plan promotes initiatives enhancing the cycling routes and network with detailed design guidelines

Reference to New Urban Agenda: art. 36, 50, 54, 113, 114, 115, 116, 117, 118

## • PUBLIC FACILITIES

Public facilities and services are essential to an urban community. Public facilities include administrative, health, educational, cultural and sporting amenities. Providing adequate public facilities in the most appropriate location in order to serve the maximum number of people can have profound impacts on the economic growth, social fabric and general health of a city. A plan should propose new facilities in underserved areas and in planned extensions. With taxpayer money behind it, the state of public facilities allows residents to see value in their contributions.

Indicator	0	1	2
<b>Public facilities</b>	The plan does not include guidelines to accommodate adequate public facilities	The plan somewhat includes guidelines to ensure quality public facilities, but they are vague, unclear or inconsistent	The plan includes guidelines to ensure adequate number, level of service and distribution of public facilities

Reference to New Urban Agenda: art. 101

## • UTILITIES AND SERVICES

Utilities and service infrastructure forms the backbone of cities and provides basic services to all the citizens like water, electricity, waste management, internet and telecommunications, etc. Utilities are essential for running a city efficiently and their distribution, management, and maintenance are the responsibility of city service providers. Cities in the developing world struggle to keep pace with the growing population and provide good quality urban services. This is particularly problematic in cities with informal settlements or slums. The plan should propose adequate provision of utilities in underserved areas and the new growth areas of the city.

Indicator	0	1	2
<b>Utilities and services</b>	The plan does not include guidelines to accommodate adequate utilities and services	The plan includes guidelines to ensure quality utilities and services, but they are vague, unclear or inconsistent	The plan includes guidelines to ensure adequate number, level of service and distribution of utilities and services, granting equal access to all citizens

Reference to New Urban Agenda: art. 25, 29, 65, 70, 85, 91, 99



## • PROTECTION OF NATURAL ENVIRONMENT AND BIODIVERSITY

Rampant and unplanned urbanization is leading to the destruction of the natural environment and biodiversity. The plan should identify the naturally sensitive spots in the city and promote strategies for their protection and enhancement. These could include forests, national parks, water bodies like rivers, lakes, wetlands, underground resources or other sensitive landscapes. The plan should also encourage the protection of biodiversity often seen in the form of plant or animal species found in certain climates. These elements help restore the ecological balance offsetting the harmful effects of urbanization.

Indicator	0	1	2
<b>Protection of natural environment and biodiversity</b>	The plan does not include any strategies for the protection of environmentally sensitive areas	The plan somewhat includes strategies demarcating, protecting and preventing the encroachment of environmentally sensitive areas but they are vague, unclear or inconsistent	The plan includes strategies demarcating, protecting and preventing the encroachment of environmentally sensitive areas

Reference to New Urban Agenda: art. 13 (h), 14 (c), 63

## • POLLUTION CONTROL (AIR, LAND, WATER, NOISE)

Some of the adverse effects of urbanization include pollution (air, water, land, and noise). Apart from damaging the environment, pollution levels affect all forms of life in cities and result in poor health among citizens. Cities grappling with air pollution often face higher cases of respiratory illnesses, while water pollution leads to many water-borne diseases, also killing other species in the urban areas. Pollution levels in most cities have been steadily rising due to industrial emissions and increased use of private motor vehicles. Guidelines encouraging the use of public transport, compact urban forms, greening initiatives and environmentally friendly materials can go a long way in tackling pollution in cities thereby improving the health and well-being of its inhabitants.

Indicator	0	1	2
<b>Pollution control</b>	The plan does not include any strategy to address environmental pollution	The plan somewhat includes strategies to tackle pollution, but they are vague, unclear or inconsistent	The plan comprehensively envisages strategies to control and mitigate pollution at source for existing and new areas

Reference to New Urban Agenda: art. 54, 63, 64, 65, 74, 119

## • REDUCTION OF ENERGY CONSUMPTION (LOW CARBON POLICIES)

Cities must emphasize and adopt low-carbon urban policies to lower greenhouse gas emissions and meet national and international targets. Some such measures include

- Compact urban form
- Low-carbon transportation systems
- Efficient building energy use and construction material
- Local clean energy supply
- Efficient waste management

Indicator	0	1	2
<b>Reduction of energy consumption</b>	The plan does not include any strategies on reduction of energy consumption	The plan somewhat includes strategies to reduce energy consumption, but they are vague, unclear or inconsistent	The plan includes strategies to reduce energy consumption and incentives to switch to alternative modes

Reference to New Urban Agenda: art. 44, 63, 70

## • CLIMATE CHANGE ADAPTION

Cities are especially vulnerable to climate change and stand to face massive economic and social losses with the increase in climate-related disasters. Urban poor living and working informal settlements often are disproportionately exposed to these hazards. Cities in the past have adopted measures focused around mitigation, however there is a growing inclination to move to adaptation techniques like promoting green infrastructure, promoting safe construction practices, rehabilitating wetlands and natural floodplains, investing in transit-oriented development, relocating to risk-free areas, etc.

Indicator	0	1	2
<b>Climate change adaptation</b>	The plan does not include strategies on climate-change adaptation	The plan somewhat includes strategies to adapt or mitigate the effects of climate change, but they are vague, unclear or inconsistent	The plan includes clear and comprehensive strategies to adapt and/or mitigate the effects of climate change

Reference to New Urban Agenda: art. 10, 63, 64, 67, 79

• **ENVIRONMENTAL SYSTEMS CONTINUITY**

The blue and green networks in a city provide multiple positive benefits like a healthier environment, recreation options, enhanced biodiversity and increased resilience. Protecting and restoring water ecosystems without man-made barriers will help restore aquatic species that are an indicator of the water quality and state. Similarly, green infrastructure operates at various scales in a city attracting birds and other organisms while also purifying the air. Continuity of green-blue networks, as well as health of the underlined ecosystems, are fundamental for sustainable urban development.

Indicator	0	1	2
<b>Environmental systems continuity</b>	The plan does not include guidelines to ensure environmental systems continuity and health	The plan somewhat includes guidelines addressing continuity of blue/green infrastructure but lacks strategies targeting ecosystem restoration	The plan includes clear and comprehensive guidelines to ensure environmental systems continuity and ecosystem restoration

Reference to New Urban Agenda: art. 44, 50, 51, 58, 68, 71

PLAN IMPLEMENTABILITY



*The cable car Metrocable in Medellín allows slum dwellers to be connected to the city center in an affordable manner. 2012 © UN-Habitat A.Padrós*

# Alignment with the local legal framework



## • COHERENCE WITH THE LEGAL FRAMEWORK

Planning usually functions within a larger legal framework and many laws govern the use, sale, registration, and transfer of land or space. For a plan to be successfully implemented, the policies must be consistent with laws and regulations at the local, regional, and national levels. The ministry, department or agency tasked with the implementation of a project must have a mandate that aligns with the outcomes of the project.

Indicator	0	1	2
<b>Coherence with the legal framework</b>	The plan does not include or align with existing zoning or legal development regulations at any level	The plan partially aligns with existing zoning or legal frameworks but local guidelines lack appropriate articulation	The plan is completely consistent with existing zoning and legal frameworks controlling development at all levels

Reference to New Urban Agenda: art. 41, 89

## • LAND MANAGEMENT STRATEGY

Land is one of the most valuable resources in cities. It is essential to optimize the use of land resources to meet the needs of the inhabitants while maintaining the productivity and the role of land in supporting various environmental functions. Land management strategies, including ensuring land tenure security, enable land-users and owners to maximize the economic and social benefits from the land while maintaining the ecological balance. For cities to successfully implement their plans and projects, land often gets acquired, sold or transferred between public or private entities. A clear land management strategy, supported by appropriate, transparent and clear guidelines, sets forth the considerations and fair means of compensation for these transactions to take place.

Indicator	0	1	2
<b>Land management strategy</b>	The plan does not include any land management strategies	The plan somewhat includes land management strategies, but they are vague, unclear or inconsistent	The plan appropriately considers land titling, acquisition and transfer among entities, making the process quick, easy, transparent and legally valid

Reference to New Urban Agenda: art. 35, 104, 105, 106, 107

## • LAND DEVELOPMENT REGULATIONS

An essential component of a city plan is to determine the kind of development permissible in different parts of the city zoned for different land uses. The main purpose is to ensure the orderly and rational development of land to create sustainable human settlements that accommodate a variety of land uses to meet the needs of the people who live in these settlements. This development control eliminates ambiguity and applies uniform laws for all land owners except in case of discretionary zoning, where authorities have the power to allow conditional uses by discretion on a case by case basis. Development control policies usually include the permissible uses, permissible heights, setbacks, ground coverage, FARs, and facade control details etc.

Indicator	0	1	2
<b>Land development regulations</b>	The plan does not include any building code or development plan.	The plan includes land development regulations but does not cover the full range, referring to a generic national building code without contextualizing it	The plan includes comprehensive and clear development regulations

Reference to New Urban Agenda: art. 35, 104, 105, 106, 107





## • COHERENCE WITH THE TECHNICAL AND FINANCIAL CAPACITY OF THE PLANNING DEPARTMENT

Planning departments in most small- to medium-sized cities face technical and financial constraints to prepare and implement their city plans. Recognising the in-house capacity of the planning department in terms of human resources and financial capability can help identify gaps and set realistic targets accordingly. The plan must acknowledge the need to build capacity within the city departments to implement the plan.

Indicator	0	1	2
<b>Coherence with the technical and financial capacity of the planning department</b>	The plan does not take into consideration the technical and financial capacity of the city planning department, making it difficult to implement the plan	The plan somewhat takes into account the technical and financial capacity of the planning department but does not set realistic goals hindering the chances to successfully implement the plan	The plan is consistent with the technical and financial capacity of the planning department, sets realistic goals and identifies gaps to be filled to successfully implement the plan

Reference to New Urban Agenda: art. 69, 81, 90, 102, 117, 126, 148

## • PHASED DEVELOPMENT AND PRIORITY PROJECTS

Cities with limited resources need to prioritize projects and implement them in phases. A comprehensive city-level plan should identify key strategic and actionable projects that trigger transformative development of the city. These projects could be prioritized based on feasibility studies, availability of funds, or low hanging fruits that can be easily achieved and have demonstrable impacts. The list of priority projects should be assigned to the responsible agency and the first step towards implementation should be clearly defined. An effort to phase projects also depicts commitment, sincerity, and practicality of the city authorities to act in a proactive manner and implement the plan.

Indicator	0	1	2
<b>Phased development and priority projects</b>	The plan does not include any phased implementation or identification of priority projects	The plan somewhat addresses phased implementation and identifies some priority projects, but they lack coherence	The plan exhaustively addresses phased implementation and correctly identifies priority projects in line with the overall strategies

• **FINANCIAL MECHANISMS FOR IMPLEMENTATION (VALUE CAPTURE INSTRUMENTS, BETTERMENT LEVIES)**

Plans may offer or adopt a range of financial mechanisms for implementation of projects. Funding options could include federal funds, annual budgets, external financing, private sector contributions, donor grants, or a combination of these. When capital is not available upfront, cities may employ strategies such as value capture, tax-increment financing, betterment levies, public bonds, etc. to finance projects upfront and recover the costs later. Often, financial strategies are challenging to implement and need careful assessment of the project to be deployed. However, offering the right mechanism and a range of financing strategies make the plan more attractive to a developer.

Indicator	0	1	2
<b>Financial mechanisms for implementation</b>	The plan does not include any financial mechanisms for implementation of the proposed projects	The plan is somewhat coherent with appropriate funding mechanisms for implementation, but are limited and/or insufficient	The plan is coherent with multiple financing mechanisms appropriate for the context and linked to specific and pertinent projects

Reference to New Urban Agenda: art.104, 126, 130, 131, 132, 133

• **DATA UPDATES AND MONITORING**

A city is a dynamic entity and is constantly in a state of flux. Creating a data repository, preferably digital, can be useful for future planning efforts where the data mostly needs to be updated. This forms the baseline data that can be tracked and analyzed over time. Creating a digital database on GIS should be incorporated as part of the planning process. To monitor the plan through its lifespan, an evaluation framework is necessary which is seldom incorporated in city plans and is rarely implemented. The plan should link to mechanisms for monitoring that also ensure transparency and public accountability.

Indicator	0	1	2
<b>Data updates and monitoring</b>	The plan does not include data updating and monitoring	The plan somewhat includes the creation of a data repository (digitized) but it is not updated or monitored regularly over time	The plan details a process for database creation (digitized), regular tracking and monitoring of projects that are documented

Reference to New Urban Agenda: art 158, 159, 160.



## • ACCESS AND AVAILABILITY

Data collection and analysis is an essential part of a plan, but equally important is the dissemination of the information to the public. Access to information with the knowledge of one's rights and duties empowers communities. Once drafted, approved, and adopted, the plan should be made available on multiple mediums-physical and digital. A plan is first and foremost a community led vision that must be easy to access and comprehend. Translating the plan into various local languages and uploading on publicly accessible websites will enhance its reach and visibility. Other related documents must reference the plan to ensure integration across multiple city- and community-led efforts.

Indicator	0	1	2
<b>Access and availability</b>	The plan is not publicly shared and is not accessible by the public	The plan has been shared publicly only on limited platforms, therefore is not considered universally accessible	The plan has been shared widely on multiple platforms, is easily accessible and is referenced in all plans drafted henceforth

Reference to New Urban Agenda: art. 156, 157.

## • COORDINATION OF IMPLEMENTING PARTNERS

An essential element of implementation is the coordination among the various ministries, departments and agencies involved in the planning and implementation of projects. City departments often work in silos resulting in uncoordinated and disconnected planning efforts undertaken in an inefficient manner. A mapping of implementing partners and stakeholders for each project can help overcome this challenge by pre-empting the usual siloed approach and avoid conflicts with overlapping mandates. Coordination of planning efforts will result in sharing of information, goals, priorities, skillsets, and processes with other departments and increase the overall impact of the projects. The plan should enlist mechanisms for coordination of agencies in a timely and effective manner advancing SDG 17.

Indicator	0	1	2
<b>Coordination of implementing partners</b>	The plan does not include any consideration the implementing partners for the proposed projects	The plan somewhat identifies the implementing partners but their involvement is unclear and/or inconsistent with the identified priority projects	The plan coherently identifies implementing partners and their respective roles for each of the proposed projects

Reference to New Urban Agenda: art. 83, 87, 101, 141, 164



An overview of downtown Nairobi, Kenya © Julius Mwelu UN-Habitat

A busy street market scene with a large crowd of people, vehicles, and shops. The image is overlaid with a semi-transparent blue filter. In the foreground, a white truck is driving away from the viewer. To the right, a pink bus is visible. The street is filled with people walking, some carrying goods on their heads. In the background, there are various shops and signs, including one for 'JESKAM AGROVET' which lists 'DAWAYA MIMENA MIFUGO', 'MBEGU MBOLEA', 'CHAKULA CHAMIFUGO', and 'WHOLESALE NA RETAIL'. Another sign for 'ESA' is also visible.

# 4. INTERPRETING THE RESULTS

## 4.1 Understanding the Results of the Evaluation

The scoring of the PAT divides the score ranges into broad Low, Medium, and High categories explained below:

- **Low**- A Low score range indicates weak performance of the plan in that theme or section. These indicators require urgent attention to ensure that the city progresses towards and meets its desired vision.
- **Medium**- A Medium score range indicate average performance of the plan in that theme or section and has scope for improvement. A medium score is also a signal of caution to alert authorities to monitor and re-direct efforts and resources to avoid letting it slip to the level of low.
- **High**- A High score range indicate healthy performance of the plan in the theme or section and that the plan is close to meeting its desired goals for the city.

### 4.1.1 Plan Comprehensiveness - 18 indicators

Score Range	Percentage Range	Category	Evaluation
0 - 12	<33%	Low	Consider revising the entire section
13 - 24	33% - 66%	Medium	Consider revising weaker themes of the section
25 - 36	>66%	High	Consider strengthening the current section with additional/ missing information

### 4.1.2 Plan Articulation - 28 indicators

Score Range	Percentage Range	Category	Evaluation
0 - 18	<33%	Low	Consider revising the entire section
19 - 37	33% - 66%	Medium	Consider revising weaker themes of the section
38 - 56	>66%	High	Consider strengthening the current section with additional/ missing information

### 4.1.3 Plan Implementability - 9 indicators

Score Range	Percentage Range	Category	Evaluation
0 - 6	<33%	Low	Consider revising the entire section
7 - 12	33% - 66%	Medium	Consider revising weaker themes of the section
13 - 18	>66%	High	Consider strengthening the current section with additional/ missing information

## 4.2 General Conclusions of the Evaluation

### 4.2.1 Plan Comprehensiveness

A low score in the first section indicates that the plan is weak or unclear in defining a vision and goals, clarifying plan coverage and relation to other plans, integrating data and analysing existing conditions of the city, and/or misses the public participation process. A clearly defined vision with goals, thorough and accurate baseline data and a robust participatory process is critical to understand the city and the future challenges to its sustainable growth. The plan must be organized and structured in a coherent way making it easily comprehensible and accessible to the public.

To strengthen the comprehensiveness of the plan, the city must invest its resources on data collection through surveys, document and literature review and spatial mapping of resources and defining the scope, vision and objectives of the plan. The data should be validated on the ground with input from the community members through public participation processes to identify gaps and shortcomings and then aligned with other ministries/agencies and national and regional priorities. Data collection and validation alone isn't sufficient to draft a successful plan. The data must be analysed to understand patterns and trends to understand how the city functions and how it can be improved.

### 4.2.2 Plan Articulation

Plan Articulation section represents the core of the city-scale plan content, with a special emphasis on spatial elements to understand the changing dynamics across a city. Here is where the vision for the city gets shaped through social, physical, environmental and economic guidelines and proposals. A low score in this section indicates that the plan doesn't address the issues identified and misses the adequate guidelines or recommendations required to achieve the vision.

To strengthen the articulation of the plan, the plan should focus on providing guidance that is context-specific and address the challenges across all aspects- social, economic, legal and environmental in a comprehensive way. The guidelines or recommendations should be clear, precise, and easy to comprehend for the general public, landowners, developers, and planners alike. Unclear strategic directions will tip the balance in favour of a few groups in the community leading to conflict and dissatisfaction.

### 4.2.3 Plan Implementability

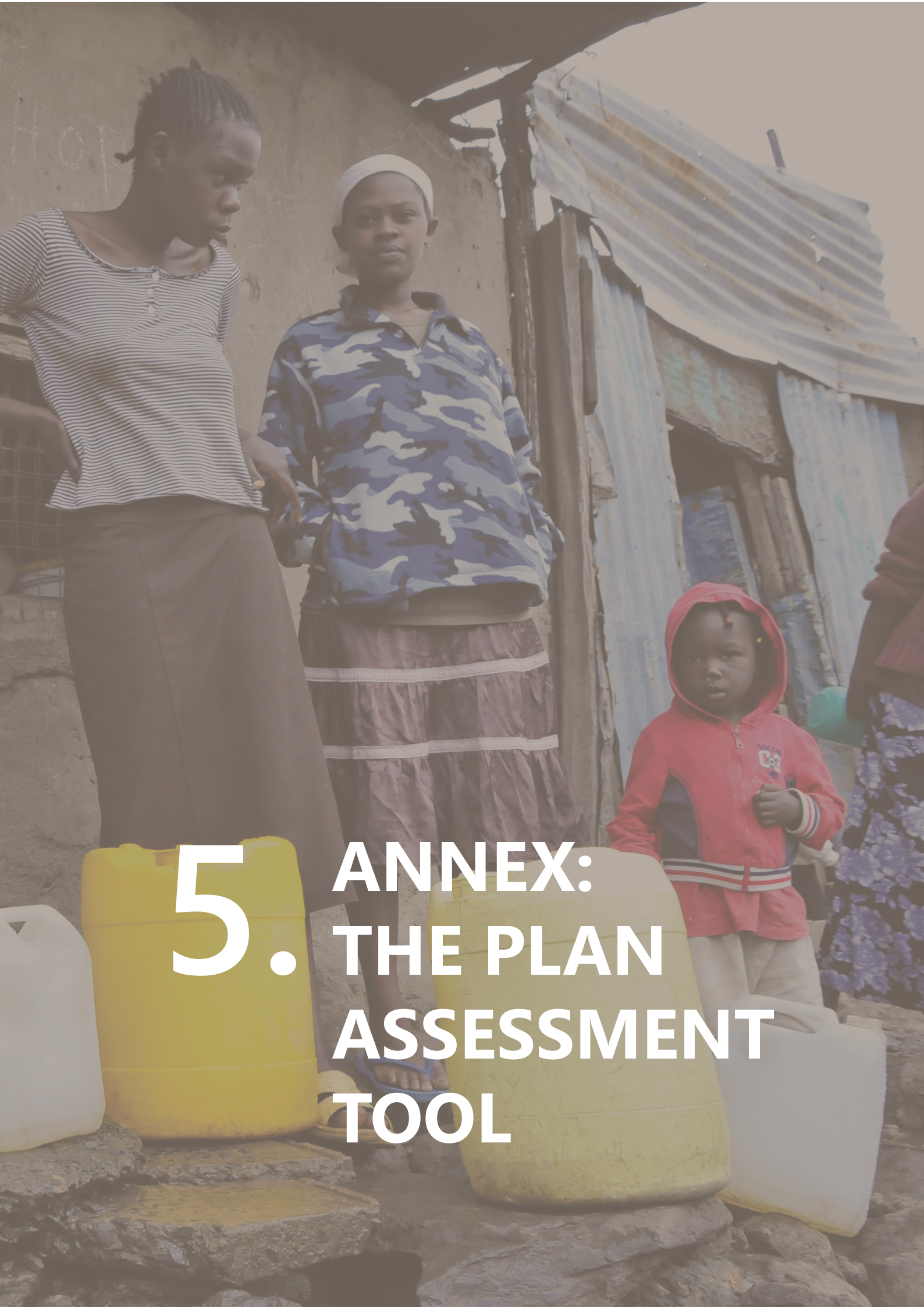
This section considers elements necessary for the proposals to be feasible in order for the plan to be implemented on the ground. A low score in this section indicates that while the plan may be comprehensive in itself, its implementation will prove to be a challenge moving forward.

To strengthen the implementability of the plan, assessing and acknowledging the capacity of the city, in terms of financial and legal frameworks play a critical role. Dissemination and easy access to the plan to the public will build consensus and trust between the community and the city. Working together with the legal and finance teams is important to align the plan's vision with its feasibility on the ground.



*Residents of Korogocho slum line up for water © Julius Mwelu UN-Habitat*





**5. ANNEX:  
THE PLAN  
ASSESSMENT  
TOOL**

THEME	INDICATOR		0
PLAN CLARITY	<b>Coherence to higher planning hierarchy</b>		The plan does not refer to other planning documents (at same, higher and lower scale), and/or does not have any coherence
	<b>Plan coverage</b>		The plan does not define or is unclear in its geographic coverage
	<b>Coherent vision, goals, and objectives</b>	<b>Vision, goals, and objectives</b>	The plan does not define a clear vision nor lists clear goals and objectives
		<b>Coherence between general objectives and proposed guidelines</b>	The plan does not demonstrate coherence between objectives and proposed guidelines
	<b>Ease of use</b>		The plan does not clearly define concepts, uses complex technical terminology and does not include legible visual elements
	<b>Coherence with sectoral plans (if any)</b>		The plan does not acknowledge sectoral components at all
	<b>Relevance and timing</b>		The plan is outdated and does not reflect the current needs of the city
DATA-BASED PLAN	<b>Land ownership/ cadastral data</b>		The plan does not include any information regarding land ownership or cadastral data
	<b>Morphological or physical data</b>		The plan does not include any information regarding the morphology or physical features
	<b>Natural features and topographical data</b>		The plan does not include any information regarding natural features and topographical data
	<b>Risk data</b>		The plan does not include any information regarding disaster-prone areas and risk assessments
	<b>Demographic data</b>		The plan does not include any information regarding the demographic composition of the city
	<b>Utilities and services data</b>	<b>Water supply &amp; management</b>	The plan does not include any information regarding utilities and services
		<b>Power supply &amp; management</b>	
<b>Solid waste management</b>			
<b>Drainage</b>			
<b>Sewage</b>			
<b>ICT (Information, Communication, Technology)</b> <b>Emergency response systems</b>			

## Comprehensiveness

RANKING CRITERIA		SCORE
1	2	
The plan refers to some other planning documents, but lacks direct coherence	The plan is fully in alignment with other planning documents and is in direct coherence	
The plan somewhat defines the geographic extents of its coverage but is inconsistent	The plan clearly defines its geographic coverage and the settlements included or excluded in the plan	
The plan partly defines a clear vision and lists some goals and objectives to realize the vision	The plan very clearly defines the vision and lists coherent goals and objectives to realize the vision	
The plan partly demonstrates coherence between objectives and proposed guidelines, but does not include impact assessments of projects on vulnerable groups	The plan very clearly demonstrates coherence between objectives and proposed guidelines, and requires impact assessments of projects on vulnerable groups	
The plan defines most concepts, limits the use technical terminology and includes some legible visual elements	The plan clearly defines concepts and technical terminology and includes ample legible visual elements, making technical concepts universally accessible	
The plan acknowledges a series of sectoral components but aligns with only a few them	The plan clearly acknowledges sectoral components and coherently aligns with all of them	
The plan has been regularly updated but only reflects some of the current needs of the city	The plan clearly reflects current conditions and appropriately addresses future growth	
The plan includes most land ownership and cadastral data, but it is still incomplete and not up to date	The plan includes complete, correct and up-to-date land ownership data and cadastral datasets	
The plan includes some morphological data but is incomplete and not up to date	The plan includes complete, correct and up-to-date morphological and physical data	
The plan includes natural features and topographical data but is incomplete and not up to date	The plan includes complete, correct, and up-to-date natural features and topographical data	
The plan includes some disaster and climate risk data but is incomplete, vague or not up to date	The plan includes complete and accurate disaster and climate risk data	
The plan includes demographic data but is incomplete, vague or not up to date	The plan includes complete, correct and up-to-date demographic data	
The plan includes utilities and services data but is incomplete, vague and not up to date	The plan includes complete, correct and up-to-date utilities and services data	

<b>DATA-BASED PLAN</b>	<b>Public datasets</b>	<b>Facilities</b>	<b>Educational facilities</b>	The plan does not include any information regarding public facilities
			<b>Health facilities</b>	
			<b>Administrative (governmental) facilities</b>	
			<b>Cultural (institutional) facilities</b>	
			<b>Recreational (Sports/parks) facilities</b>	
			<b>Safety facilities</b>	
		<b>Religious facilities (optional)</b>		
	<b>Housing datasets</b>			The plan does not include any information on housing and informal settlements
	<b>Economy data</b>			The plan does not include any information regarding economic activity of the city
<b>INCLUSIVITY OF THE PROCESS (INCLUDES GENDER, REPRESENTATION OF MINORITIES, CHILDREN, ELDERLY)</b>	<b>Participatory process in document redaction</b>			No participatory process
	<b>Participatory process in document approval</b>			The final plan as not been publicly presented/ approved through a participatory process

The plan includes information on public facilities data, but it is incomplete	The plan includes complete, correct and up-to-date public facilities data	
The plan includes data on housing and informal settlements but is incomplete	The plan includes complete, correct and up to date housing and informal settlements data	
The plan includes economic data but is incomplete	The plan includes complete, correct and up to date economic data including employment data	
The planning process includes community engagement and soliciting inputs, but they haven't been included in the redaction of final document	The document has been co-produced with citizens and their inputs have been substantially included in the redaction of final document	
The final plan has been fully presented to citizens but they were not involved in formal approval process	The final plan has been presented and approved through an inclusive and thorough participatory process	
	<b>Total</b>	

THEME	INDICATOR		0
SOCIAL THEMES	Affordable housing		The plan does not define or include any guidelines on affordable housing
	Diversity of housing types		The plan does not address diverse housing needs
	Informal housing		The plan does not address informal housing
	Distribution and access to basic services		The plan does not address provision of basic services and utilities
ECONOMIC THEMES	Comprehensive economic strategy		The Plan does not target any economic strategy
	Coherence with national and regional level economic goals and strategies		The plan does not consider the economic role of the city within its regional and national context
	Promotion of diverse economic activities		The plan does not target economic diversification
SPATIAL/PHYSICAL ASPECTS	Land Use	Compatibility of land-use distribution	The plan does not consider the compatibility of land uses
		Promotion of mixed land-use	The plan does not include any guideline that promote mixed-use developments
	Density	Densification Strategies	The plan does not include any strategy on densification or incentives for compact development
		Coherence between densities and infrastructure capacities	The plan does not relate infrastructure capacity with density
	Heritage and cultural preservation	Protection, promotion, and restoration of historical and cultural resources	The plan does not include any guidelines on heritage protection and cultural preservation
	Public Space	Adequate land allocation for public spaces	The plan does not address minimum public/open space requirements
		Accessibility of public spaces	The plan does not consider the accessibility of public spaces
		Design guidelines for public spaces	The plan does not include any design guidelines for public space

## irculation

RANKING CRITERIA		SCORE
1	2	
The plan includes information regarding affordable housing and defines parameters for affordability but lacks clear guidelines or strategies to meet the forecasted housing demands	The plan includes a clear definition and analysis of affordable housing and adequate guidelines or strategies to meet the forecasted housing demands.	
The plan somewhat addresses the need for diverse housing typologies but lacks clear strategic directions	The plan addresses the need for diverse housing typologies and provides incentives to meet future needs through clear strategies	
The plan addresses informal housing but lacks clear strategic directions	The plan addresses informal housing and includes strategies to improve the conditions of these settlements	
The plan addresses distribution of and access to services/utilities but is incomplete and/or inadequate to meet the needs of the residents	The plan addresses distribution of and access to basic services and includes comprehensive guidelines or directions to bridge the gap	
The plan includes an economic strategy but lacks guidance on jobs and business opportunities	The plan includes a comprehensive economic strategy and guidelines targeting jobs and business opportunities	
The plan's economic strategies align with some of the regional and national level economic goals	The plan's economic strategies are in coherence with the regional and national level economic goals	
The plan acknowledges the need for economic diversification but lacks clear strategic direction	The plan includes adequate and appropriate strategies for the city's economic diversification	
The plan partially addresses land use compatibility but can be remedied or minimized through project design, such as traffic mitigation and/or building design and scale	The plan addresses compatibility of land uses through well- established land use and zoning policies	
The plan somewhat promotes mixed land-use by reducing single-uses but only in new growth/ extension areas	The plan promotes mixed land-use through policies incentivizing mixed use in existing and new parts of the city, restricting single-use establishments to 10-15%	
The plan does not include any strategy on densification or incentives for compact development	The plan promotes densification and compact forms of development through clear and adequate strategies and incentives	
The plan somewhat considers the need to match infrastructure needs with increased density but the initiatives are weak or unclear	The plan addresses the capacity of infrastructure to serve increased urban densities through clear and adequate initiatives	
The plan somewhat includes guidelines on heritage protection and cultural preservation, but they are vague, unclear or inconsistent	The plan clearly defines guidelines to protect heritage and cultural assets and is accurate and up to date	
The plan somewhat includes guidance for allocating land for public/open spaces, but they are vague, unclear or inconsistent	The plan defines clear guidance to allocate land for public space over the entire urban boundary	
The plan somewhat considers the accessibility of public spaces, but the guidelines are vague, unclear or inconsistent	The plan optimizes the accessibility of public spaces, through clear and adequate guidelines covering the entire urban boundary	
The plan outlines design guidelines for public spaces but they are vague, unclear or inconsistent	The plan outlines comprehensive design guidelines for public spaces for diverse urban conditions	

<b>SPATIAL/PHYSICAL ASPECTS</b>	<b>Mobility (Transport)</b>	<b>Multi-modal mobility</b>	The plan does not include initiatives supporting multi-modal forms of transport
		<b>Street hierarchy and network</b>	The plan does not identify a clear street hierarchy
		<b>Public transport network</b>	The plan does not mention the existing or proposed public transportation system
		<b>Transit-oriented development</b>	The plan does not promote transit-oriented development
		<b>Pedestrian realm and network</b>	The plan does not include initiatives to enhance the pedestrian realm and network
		<b>Cycling routes and network</b>	The plan does not include initiatives to enhance the cycling routes and network
	<b>Public facilities</b>	<b>Public facility provision (administrative, health, education, cultural, sports, etc.)</b>	The plan does not include guidelines to accommodate adequate public facilities
<b>Utilities and services</b>	<b>Capacity, quality and distribution of utilities and services</b>	The plan does not include guidelines to accommodate adequate utilities and services	
<b>ENVIRONMENTAL THEMES</b>	<b>Protection of natural environment and biodiversity</b>		The plan does not include any strategies for the protection of environmentally sensitive areas
	<b>Pollution control (air, land, water, noise)</b>		The plan does not include any strategy to address environmental pollution
	<b>Reduction of energy consumption</b>		The plan does not include any strategies on reduction of energy consumption
	<b>Climate change adaptation</b>		The plan does not include strategies on climate-change adaptation
	<b>Environmental systems continuity</b>		The plan does not include guidelines to ensure environmental systems continuity and health



The plan somewhat includes initiatives supporting multi-modal transportation, but they are vague, unclear or inconsistent	The plan includes clear and adequate initiatives supporting multi-modal forms of transport	
The plan attempts to establish a street hierarchy but does not include any design standards	The plan establishes a clear street hierarchy with distinct design standards	
The plan includes some strategies promoting public transportation, but they are vague, unclear or inconsistent	The plan includes strategies promoting the use of existing and proposed public transportation systems	
The plan somewhat promotes transit-oriented development, but the guidelines are vague, unclear or inconsistent and/or not covering the whole city (b.e. retrofitting existent neighborhoods)	The plan promotes transit-oriented development in existing and planned areas through guidelines and incentives	
The plan somewhat includes initiatives to enhance the pedestrian realm and network, but they are vague, unclear or inconsistent	The plan includes initiatives enhancing the pedestrian realm and network with detailed design guidelines	
The plan somewhat includes initiatives to enhance the cycling routes and network, but they are vague, unclear or inconsistent	The plan promotes initiatives enhancing the cycling routes and network with detailed design guidelines	
The plan somewhat includes guidelines to ensure quality public facilities, but they are vague, unclear or inconsistent	The plan includes guidelines to ensure adequate number, level of service and distribution of public facilities	
The plan includes guidelines to ensure quality utilities and services, but they are they are vague, unclear or inconsistent	The plan includes guidelines to ensure adequate number, level of service and distribution of utilities and services, granting equal access to all citizens	
The plan somewhat includes strategies demarcating, protecting and preventing the encroachment of environmentally sensitive areas but they are vague, unclear or inconsistent	The plan includes strategies demarcating, protecting and preventing the encroachment of environmentally sensitive areas	
The plan somewhat includes strategies to tackle pollution, but they are vague, unclear or inconsistent	The plan comprehensively envisages strategies to control and mitigate pollution at source for existing and new areas	
The plan somewhat includes strategies to reduce energy consumption, but they are vague, unclear or inconsistent	The plan includes strategies to reduce energy consumption and incentives to switch to alternative modes	
The plan somewhat includes strategies to adapt or mitigate the effects of climate change, but they are vague, unclear or inconsistent	The plan includes clear and comprehensive strategies to adapt and/or mitigate the effects of climate change	
The plan somewhat includes guidelines addressing continuity of blue/green infrastructure but lacks strategies targeting ecosystem restoration	The plan includes clear and comprehensive guidelines to ensure environmental systems continuity and ecosystem restoration	
<b>Total</b>		

## Plan Implem

THEME	INDICATOR	0
ALIGNMENT WITH THE LOCAL LEGAL FRAMEWORK	Coherence with the legal framework	The plan does not include or align with existing zoning or legal development regulations at any level
	Land management strategy	The plan does not include any land management strategies
	Land development regulations	The plan does not include any building code or development plan
TECHNICAL AND FINANCIAL CAPACITY	Coherence with the technical and financial capacity of the planning department	The plan does not take into consideration the technical and financial capacity of the city planning department, making it difficult to implement the plan
	Phased development and priority projects	The plan does not include any phased implementation or identification of priority projects
	Financial mechanisms for implementation	The plan does not include any financial mechanisms for implementation of the proposed projects
	Data updates and monitoring	The plan does not include data updating and monitoring
COORDINATION AND TRANSPARENCY	Access and availability	The plan is not publicly shared and is not accessible by the public
	Coordination of implementing partners	The plan does not include any consideration the implementing partners for the proposed projects

## mentability

RANKING CRITERIA		SCORE
1	2	
The plan partially aligns with existing zoning or legal frameworks but local guidelines lack appropriate articulation	The plan is completely consistent with existing zoning and legal frameworks controlling development at all levels	
The plan somewhat includes land management strategies, but they are vague, unclear or inconsistent	The plan appropriately considers land titling, acquisition and transfer among entities, making the process quick, easy, transparent and legally valid	
The plan includes land development regulations but does not cover the full range, referring to a generic national building code without contextualizing it	The plan includes comprehensive and clear development regulations	
The plan somewhat takes into account the technical and financial capacity of the planning department but does not set realistic goals hindering the chances to successfully implement the plan	The plan is consistent with the technical and financial capacity of the planning department, sets realistic goals and identifies gaps to be filled to successfully implement the plan	
The plan somewhat addresses phased implementation and identifies some priority projects, but they lack coherence	The plan exhaustively addresses phased implementation and correctly identifies priority projects in line with the overall strategies	
The plan is somewhat coherent with appropriate funding mechanisms for implementation, but are limited and/or insufficient	The plan is coherent with multiple financing mechanisms appropriate for the context and linked to specific and pertinent projects	
The plan somewhat includes the creation of a data repository (digitized) but it is not updated or monitored regularly over time	The plan details a process for database creation (digitized), regular tracking and monitoring of projects that are documented	
The plan has been shared publicly only on limited platforms, therefore is not considered universally accessible	The plan has been shared widely on multiple platforms, is easily accessible and is referenced in all plans drafted henceforth	
The plan somewhat identifies the implementing partners but their involvement is unclear and/or inconsistent with the identified priority projects	The plan coherently identifies implementing partners and their respective roles for each of the proposed projects	
<b>Total</b>		



*Escalera de comunidad 13 take residents up into a hillside community in Medellín, Colombia © Julius Mwelu UN-Habitat*

A photograph of a colorful hillside neighborhood, likely a favela or informal settlement. The houses are built on a steep slope and are painted in various bright colors like orange, green, blue, and yellow. A tall, white and orange telecommunications tower stands prominently in the foreground on the right side. The sky is bright with some clouds. The overall scene is vibrant and densely packed.

# 6. REFERENCES

## 6.1 References

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- **International Guidelines on Urban and Territorial Planning**, 2015, UN-Habitat
- **Planning Law Assessment Framework**, 2018, UN-Habitat
- **The New Urban Agenda**, 2016, UN-Habitat
- **Global Public Space Toolkit**, 2015, UN-Habitat
- **Economic Foundations for Sustainable Urbanization: A Study on the Three-Pronged Approach**, 2017, UN-Habitat





غارة يندسا كورس

*Conflict halts progress in the cities as cranes stand idle. © UN-Habitat*



A cityscape photograph with a construction crane on the left and various residential buildings in the foreground and middle ground. The sky is hazy and grey. The text '7. LIST OF PHOTOGRAPHS' is overlaid in white, bold, sans-serif font.

# 7. LIST OF PHOTOGRAPHS

## 7.1 List of Photographs

A section of Medellin town in Colombia © Julius Mwelu UN-Habitat .....	1
One stop Center in Kigali, Rwanda 2012 © UN-Habitat Julius Mwelu.....	5
An overview of Rio de Janeiro, Brazil © UN-Habitat Julius Mwelu .....	11
Participatory planning of public spaces at Kalobeyei, Turkana Kenya 2019 © UN-Habitat Bernard Heng .....	16
Community members in Mathare slum, Nairobi, Kenya during COVID-19 - May 2020. @UN-Habitat Kirsten Milhahn.....	26
The cable car Metrocable in Medellín allows slum dwellers to be connected to the city center in an affordable manner. 2012 © UN-Habitat A.Padrós.....	42
An overview of downtown Nairobi, Kenya © Julius Mwelu UN-Habitat .....	47
Residents of Korogocho slum line up for water © Julius Mwelu UN-Habitat .....	51
Escaleras de comuna 13 take residents up into a hillside community in Medellin, Colombia © Julius Mwelu UN-Habitat .....	63
Conflict halts progress in the cities as cranes stand idle. © UN-Habitat.....	65



