



LEADING CHANGE

Delivering the
New Urban Agenda through
Urban and Territorial
Planning



human settlements

Department:
Human Settlements
REPUBLIC OF SOUTH AFRICA



SOUTH AFRICAN LOCAL
GOVERNMENT ASSOCIATION

SALGA

Inspiring service delivery

UN HABITAT
FOR A BETTER URBAN FUTURE

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Foreword

We are very pleased to present *Leading Change: Delivering the New Urban Agenda through Urban and Territorial Planning*, an insightful analysis of UN-Habitat's Guidelines for Urban and Territorial Planning. The revival of planning as a key instrument of sustainable urbanisation, and indeed, sustainable development as such, has been a journey of over a decade, spearheaded by UN-Habitat but in close collaboration with several partners. What began in 2005 as a series of ad-hoc flyers documenting UN-Habitat's various activities related to urban planning, has culminated in urban planning and design becoming fundamental to the agency's work, an important piece of SDG 11, and central to the New Urban Agenda, agreed by member states at the Habitat III Conference in Quito in October 2016.

A key step in this journey was the adoption of the International Guidelines on Urban and Territorial Planning by the UN-Habitat Governing Council in April 2015. The Guidelines were developed through an extensive participatory process involving representatives of national governments, local authorities, professional associations and civil society, who contributed their time and expertise through a series of Expert Group Meetings over a period of two years. Alongside UN-Habitat,

the Expert Group was actively supported by the International Society of City and Regional Planners (ISOCARP) and United Cities and Local Governments (UCLG), representing professionals and local authorities respectively.

This publication is an attempt to unpack the essential principles and ideas that underpin the Guidelines. Along with urban economy and legislation, urban planning remains one of the three fundamentals of urbanisation as enshrined in the New Urban Agenda.

Supported by SALGA and the Department of Human Settlements, Government of South Africa, *Leading Change* is an excellent addition to the suite of knowledge products focused on urban planning and design being developed by UN-Habitat and its partners, to build a better understanding of the Guidelines and support their implementation. We hope that this book will help national governments, local and regional authorities and their networks, professional associations, and civil society networks, across the globe, to engage with planning and use it as tool to deliver sustainable, inclusive, resilient and safe cities and human settlements.



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Message from the Chair of the Expert Group: International Guidelines on Urban and Territorial Planning

The names of the people who gave so generously of their time to draft the International Guidelines on Urban and Territorial Planning and to write this book are listed in the acknowledgements. Their contributions have however been so substantial that simply listing names is not recognition enough. Special mention must be made of the enormous contribution and selfless effort made by these remarkable people, drawn from all corners of the globe and from all Habitat partner groups – and all on a voluntary basis. They have made a significant contribution to positioning us to deliver the sustainable urban future the New Urban Agenda seeks to achieve.

The Department of Human Settlements of the South African Government has played a key role in both supporting the adoption of the International Guidelines on Urban and Territorial Planning, together with the Governments of France, Japan and Uganda, and in providing the

opportunity during the Habitat III preparatory process, including in the Habitat III thematic meeting hosted by South Africa in Pretoria, *Leading Change: From Slums to Inclusive, Safe, Resilient and Sustainable Human Settlement*. for the conceptualisation of the book. This opportunity was vital to bringing the book to life and is greatly appreciated, especially as it has enabled us to start moving not only from the “what” to the “how”, but also to start thinking about the “who”.

Finally, acknowledgment must also be given to the South African Local Government Association (SALGA) for supporting the writing of this book. Without SALGA’s belief in the role of planning, as set out in the International Guidelines on Urban and Territorial Planning, and of the importance of partnerships in delivering the New Urban Agenda, this book would not have been possible.



Christine Platt

Chair: Expert Group International Guidelines on Urban and Territorial Planning

Abbreviations

AAPS	The Association of African Planning Schools
AeT	Asiye eTafuleni
BRT	Bus Rapid Transit
CEDAW	International Convention on the Elimination of All Forms of Discrimination Against Women
CSO	Civil Society Organisation
ESPON	European Territorial Observatory Network
GDP	Gross Domestic Product
ICESCR	International Convention on Economic, Social and Political Rights
ICN	Innovation Circle Network
IG-UTP	International Guidelines on Urban and Territorial Planning
LGBT	Lesbian, Gay, Bi-sexual and Transgender
MDG	Millennium Development Goal
NCD	Non-communicable Disease
NGO	Non-government Organisation
NUA	New Urban Agenda
OECD	Organisation for Economic Co-operation and Development
PAS	Planning Aid Scotland
PCVA	Participatory Capacity and Vulnerability Analysis
PSUP	Participatory Slum Upgrading Programme
SDG	Sustainable Development Goal
SPLUMA	Spatial Planning and Land Use Management Act (South Africa)
SWOT	Strengths, Weaknesses, Opportunities and Threats
UCLG	United Cities and Local Governments
UDHR	Universal Declaration of Human Rights
UN	United Nations
UNISDR	United Nations Office for Disaster Risk Reduction
UTP	Urban and Territorial Planning
WHO	World Health Organization

Glossary

Administrative justice: Administrators must follow fair procedures when taking decisions, and those affected should have the right to review or appeal decisions and be given reasons for the decision. Decisions should be transparent and free of any prejudice or partiality.

Age-friendly cities: A local policy approach to respond to the needs of aging populations and support the inclusion of older people by planning and designing environments that are barrier-free, with good connections between places, suitable housing and places to rest, meet people and get community support.

Agglomeration economies: Competitive advantages that accrue to businesses from location in a large urban centre – e.g. access to a larger market for labour and for components and for the sale of products. Also there are advantages of access to capital and knowledge.

Capacity: Positive conditions or abilities which increase a person's or a group's ability to do things, and specifically to advocate for their needs and to implement desired actions.

Circular economy: An economy that recycles and reuses waste, so that today's products become tomorrow's resources. It contrasts with a linear economy that can be characterised as "take – make – dispose".

City region: The area within which the connections between one or more cities and the surrounding rural land are intense and

functionally (economically, socially, politically and geographically) connected. These areas are typically 80-100 km across and occupy up to 10,000 km².

Climate change: A change in climate patterns that persists for decades or longer. It arises from human activity that alters the composition of the atmosphere (i.e. greenhouse gas emissions) that is over and above natural climate variability.

Climate change adaptation: Actions that people and institutions make in anticipation of, or in response to, a changing climate. This includes altering things they do and/or the way they do them.

Climate change mitigation: An activity to reduce the drivers of climate change, by reducing emissions of greenhouse gases to the atmosphere. In the context of disasters, "mitigation" means the measures taken before the impact of a disaster to minimise its effects.

Clusters: The tendency of businesses in the same sector to locate close to one another, as this provides competitive advantages as a form of competitive cooperation, e.g. access to skills or components, and opportunities for customers to do comparison shopping.

Communicable diseases: Diseases spread from one person or animal to another. The infection can be transmitted via a variety of means, e.g. insect bites or airborne viruses.

Disaster: A serious disruption of the functioning of a place and the activities it supports, causing widespread human, material or environmental losses and impacts, which exceed the ability of the people affected to cope using their own resources.

Disaster risk reduction: The systematic effort to analyse and manage the causal factors of disasters, i.e. reduce exposure to hazards, lessen vulnerability of people and property, apply wise environmental management, and improved preparedness for adverse events.

Disruptive technologies: Innovations that create significant new business opportunities and models, and simultaneously make previous products, services and business practices obsolete.

Development state: States that have the capacity and political will to play a leading role in the pursuit of development, and in which high priority is given to delivering economic development. Such states typically combine state investment and use of powers along with market-based mechanisms to attract foreign investment.

Food security: People are considered food secure when they have availability and adequate access at all times to sufficient, safe, nutritious food to maintain a healthy and active life. Food security analysts look at the combination of the following three main elements: food availability, access and utilisation (storage, cooking, sharing etc).

Gentrification: The process of social change that takes place in a neighbourhood, often previously occupied by low-income residents, as more affluent people move in. Gentrification may be triggered by environmental improvements or new transport links that make the area more attractive, but can also occur as a response to housing shortages in pressured housing markets. It is often associated with a change in tenure from renting to owner-occupation, or within renting from low rent to high rent. Supporting services and facilities, e.g. shops, bars, and industrial premises, are also likely to change.

Governance: The political and administrative management of places that involves partnerships (formal or informal) between governments at different levels but also the private sector and civil society organisations.

Green belt: A planning policy that seeks to retain a ring of agricultural, forest or other open land around a growing settlement, by refusing to allow development there.

Green business: Private or semi-private enterprises that adopt principles and practices to protect people and the planet. They challenge themselves to bring the goals of social and economic justice, environmental sustainability, as well as community health and development, into all of their activities — from production and supply chain management to employee relations and customer service. Such businesses often have policies that reflect human rights.

Hazard: An event that has the potential for causing injuries to life and damaging property and the environment.

Healthy city: A city that is continually creating and improving the physical and social environments and expanding the community resources which enable people to mutually support each other in performing all the functions of life and developing to their maximum potential.

Heritage: Includes both tangible heritage, such as historic buildings, public spaces or landscapes, as well as intangible heritage, such as cultural practices and traditions.

Inclusive city: An inclusive city is one that values all people and their needs equally. It is one in which all residents—including the most marginalised of poor workers and other vulnerable groups—have a representative voice in governance, planning, and budgeting processes, and have access to sustainable livelihoods, legal housing and affordable basic services such as water/sanitation and an electricity supply.

Informal development: While definitions can vary from country to country, reflecting differences in types and materials of construction, for example, in this book the term is intended to mean development that is undertaken without going through a formal process of approval under planning legislation or complying with statutory building standards and codes. It is

often, but not exclusively on the edge of a city, and may be undertaken through self-build by households or be developed by businesses with the intention of selling or renting the properties. The residents are unlikely to have adequate land rights to protect them from evictions.

Infrastructure: An interconnected network of physical artefacts and organisational structures that supply basic services to humans living in a built environment.

Multi-level governance: Governance (see above) in which a central feature is close working of key partners across scales, potentially from transnational to local.

Non-communicable diseases: Diseases that are not passed from one person or animal to another, but are often of long duration and slow progression, e.g. cardiovascular diseases or cancers.

Passive design: Approaches to the design of human environments that provide a comfortable living environment by maximising the advantage of the natural features of a site to eliminate or reduce the need for use of electricity.

Participatory budgeting: A way of reaching decisions on spending priorities by rounds of public consultation to inform municipal budgets. As a democratic process it gives citizens a direct say in where and how money should be spent on their behalf by their municipality.

Pinheiro principles: A set of guidelines for governments and UN agencies on how to address problems of housing, land and property restitution. They reaffirm human rights and stress the importance of consultation and participation of displaced persons.

Resilience: The ability of a system or a place and its people to resist, absorb, accommodate to and recover from the effects of a hazard in a timely and efficient way.

Right to the City: A contested term that has no globally agreed definition. The New Urban Agenda has identified key underpinnings which are based on “seeking to promote inclusivity, and ensure that all inhabitants, of present and future generations, without discrimination of any kind, are able to inhabit and produce just, safe, healthy, accessible, affordable, resilient, and sustainable cities and human settlements, to foster prosperity and quality of life for all”. Some see it as a collection of agreed rights, but others see it as a newer and more specified right.

Smart cities: There is no universal definition of a smart city, and many of the definitions that are put forward come from information technology companies seeking to market their services and so include positive adjectives. A smart city is typically understood as one in which extensive use is made of inter-linked sets of data to manage essential urban services such as lighting, transport or water systems. Much

of the data is collected in real time through a system of sensors, and analysed and acted upon by algorithms.

Social justice: Justice in terms of the distribution of wealth, privileges and opportunities within a society.

Spatial framework: A form of strategic spatial plan that is indicative rather than seeking to precisely define how all the land will be developed. It is a policy based document that is often displayed through a sketch diagram.

Spatial justice: The spatial dimension of social justice, in other words justice in the way that wealth, privileges and opportunities – or dis-benefits such as pollution or inaccessibility – are distributed in space, e.g. between different parts of a city.

Urban agriculture: The growing of plants and the raising of animals within and around cities.

Urban and Territorial Planning: Urban and territorial planning can be defined as a decision-making process aimed at realising economic, social, cultural, and environmental goals through the development of spatial visions, strategies and plans and the application of sets of policy principles, tools, institutional and participatory mechanisms and regulatory procedures.

Vulnerability: Conditions that reduce the ability of a place and its people to prepare for, withstand or respond to a hazard.

Executive Summary

The UN-Habitat World Urban Forum III in Vancouver in 2006 was the first global event at which planning was accepted as a key tool for the strategic coordination of sustainable urbanisation. Since then UN-Habitat has taken the lead in promoting new thinking through its work on International Guidelines on Decentralisation and Access to Basic Services (2009), the Global Report on Human Settlements – Planning Sustainable Cities (2009), Citywide Strategic Planning (2010) Urban Patterns for a Green Economy (2012) and Urban Planning for City Leaders (2012). This suite of initiatives has laid the basis for the preparation of the **International Guidelines on Urban and Territorial Planning (IG-UTP)** as a pivotal component of the framework for delivering a sustainable urban future.

This book as a whole contains the **strategic considerations** and supporting line of reasoning that need to be considered when applying the IG-UTP. It is not a primer on planning and hence does not cover every issue encompassed by the IG-UTP.

The Executive Summary provides the **key foundational elements** of Urban and Territorial Planning (UTP). It is intended for both readers who only want an overview and those who would like a summary prior to appraising the full content.

The starting point is that planning has to adjust to a **new global context**. Traditional forms of planning were formulated before concerns such as climate change, inclusion, metropolitanisation, spatial justice, gender, or resilience were considerations. Furthermore, an unprecedented extent of urban development is now unplanned and many cities are overwhelmed by dysfunctional and often slum-led urban growth. Planning needs to adjust to these new realities so that we do not continue on the current trajectory. Many of the notions on how to do this are not new but need re-examination.

Traditional planning systems typically prioritise containment of urban spread, preservation of local environments, enforcing orderliness through application of standards and segregation of land uses with the overall intention of maximising the greater public good. There have been significant examples of success for these systems, for example, the reconstruction of Europe after the Second World War. They tended to work well where there was a close association with budgets and the means of implementation, and this reflection yields useful insights for UTP.

But by and large planning became overly concerned with land use regulation rather than development. The resources needed to

operate such administration-heavy systems are not available in many countries and cities. Even in jurisdictions that have well-endowed public administrations, the expense and ponderousness of planning systems that had the limited ambition of playing “catch up” have come to be seen as onerous. Additionally, many have come to regard the planning process as a brake on economic development with the negative by-product of encouraging rent-seeking behaviour by those who have the clout and financial wherewithal to surmount the complexities of the system.

This situation has led to more interest in **market driven and seemingly dynamic approaches**, for example, “World Class Cities”. A consequence of the popularity of this approach of “taking off the brakes” has coincided with the burgeoning of urban economic growth. But it has also been accompanied by an increase in urban inequality and social exclusion. Urban sprawl has become more common, with associated decreases in overall city efficiency with growing transport costs and congestion, loss of prime agricultural land, not to mention climate change implications resulting from continuing high levels of greenhouse gas emissions. For some, these downsides are a price worth paying for economic growth. IG-UTP by contrast offers an alternative: that it is possible to have growth without all the negative side effects.

For this alternative to be achievable, new forms of planning have to be **simpler, faster and more cost effective, focused on implementation and achieving positive results** such as equitable prosperity, reduction of greenhouse gas emissions and adequate housing for all. UTP will be proactive rather than regulatory. This can be done by focusing less on land use regulation - although this will still be done where resources are sufficient and development pressures demand it - and more on initiating, guiding and integrating the provision of infrastructure. Patterns of urban growth respond to the location of infrastructure corridors and this provides the opportunity to anticipate, initiate, and guide growth and mould it into a more efficient and inclusive urban form.

Planning also has to learn to embrace **informality** in the many parts of the world where it has become the dominant form of urban growth in employment and housing. This entails understanding informality, working and shaping it so that it becomes more productive rather than just being routinely penalised.

Plans must have strong links to **budgets** and financial planning for implementation to be effective. Powers are needed for planning and plans to **initiate and coordinate investment in infrastructure**. To do this, plans will need to

be strategic i.e. concentrate on areas of greatest need rather than strive to be comprehensive, and integrative across different sectors, scales and actors. National development strategies are currently often silent on where investment will occur or how coordination of sectoral infrastructure investments can increase productivity. National Urban and Territorial Plans are one device to help in ensuring the links to budgets and infrastructure investment.

Planning needs to have a **territorial dimension**. Many national development policies cling to the notion that rural and urban development are binary choices. But the notion of the urban-rural divide becomes less relevant as relationships are increasingly understood as a continuum. Integrated territorial planning examines relationships between settlements so as to identify the public and private services that will promote rural development and share the value created by urbanisation. Small and medium sized urban centres can be made into the hubs of development by strengthening the linkages between them, other larger centres and their hinterlands.

One of the important drivers of planning's evolution has been the concern for public welfare and particularly the need to address urban poverty. By contrast, more marketised approaches aiming at increasing economic growth have witnessed an increase in the

numbers of people being left behind and lacking basic services. However, the **Rights to Adequate Housing and to Water and Sanitation**, which have been ratified by most member states of the United Nations, impose obligations to meet minimum standards, especially for the poorest and most vulnerable. The criteria by which it may be judged whether these rights have been fulfilled include access to social and physical infrastructure, safety from environmental threats and proximity to employment opportunities. Urban planning is the main means by which to mainstream the implementation of these criteria.

The pro-poor bias emanating from the fulfilment of human rights (the rights-based approach), the New Urban Agenda and the Sustainable Development Goals, also necessitates a move away from treating the poor as beneficiaries towards an approach of empowering them to assert their rights. Public participation, which has been a theme of planning for many years, becomes a means of achieving **empowerment** when applied as part of a rights-based approach. This involves not just working for communities but working with them to build their capacity to influence the development process. The planning profession will have to see its role as less an impartial arbiter of the public good and more of an empowerer of those who are disadvantaged.

Gender-based forms of institutionalised inequality, often resulting from social norms that discriminate against **women**, especially poor women, need renewed attention in planning. Public participation in planning must therefore specifically seek out women's needs.

The need for UTP derives much of its momentum from change at the global level. But planning practice is increasingly focussed on governance qualities such as transparency, inclusiveness and participation, which are most easily achieved at the local level. Yet UTP will be practised at regional, metropolitan and national, and indeed, transnational levels as well as the local level. Therefore, in order to maximise the opportunity for these governance qualities to be realised the principle of **subsidiarity** should be applied. In other words, UTP should be undertaken at the lowest appropriate level.

National governments still have an important role, especially in interpreting global issues so that they are relevant to the country context and ensuring that there is an appropriate legal and regulatory framework. They will enable collaboration across boundaries, including national boundaries. Integration, especially across organisational boundaries, is a strong theme of UTP and national governments can do much to promote and reward a collaborative culture.

Regional and local authorities will need to modify bureaucratic and hierarchical planning structures, and encourage a culture of flexibility, openness and willingness to negotiate. These attributes are essential in a governance relationship with the public under a UTP based on participation, empowerment and partnership.

Creation of **equitable prosperity** through UTP is based on a number of notions. One is to provide infrastructure in areas of economic potential in advance of the arrival of demand. This also allows improved opportunities for housing to be provided in proximity to jobs. Creation of transport infrastructure and transit hubs through UTP offer prospects of generating agglomeration economies through the creation of economic clusters. Both formal and informal development will cling to infrastructure networks and may present the best way of shaping sustainable urban development efficiently and effectively. Grid-based structures offer important opportunities to do this in a flexible manner where topography permits. In all circumstances, participation of economic actors, including those from the informal sector, underpins the planning process. Technological change is now driving economic development. UTP needs to be flexible and quick to respond in order to deliver positively.

There is an accelerating frequency of natural disasters in urban areas prompted by climate change that emanates from greenhouse gases created by the production and consumption patterns associated with living in cities. Paradoxically, cities also offer the best opportunity to deal with these problems of both causation and mitigation through addressing urban form, domestic energy consumption and transport amongst other things. City sprawl is also consuming large areas of high value agriculture land and helping to create food insecurity, not to mention threatening natural habitats and biodiversity. In response, UTP has to increase the **resilience** of cities, rather than just responding after negative events. For example, plans should ensure that people do not live in harm's way such as in flood prone or unstable areas and create and protect open space to both conserve biodiversity and promote food security while augmenting capacity to cope with storm water surges. In almost all cases, planning for compact cities while integrating these with schemes for territorial development provides a platform for promoting resilience.

These proposals will not satisfy everyone. But things cannot go on as they are. There needs to be a culture change within the planning profession and among decision-makers and stakeholders. We need to build on the strengths of the planning tradition and to adapt to the complexity of accelerating global change by delivering at scale at a more rapid pace. Fiscal, taxation, governance, management and environmental regulation measures are not enough. They need to be supported by an integrative and nimble UTP that is strategic, participatory and based on human rights principles.

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1

No time to lose

“

The International Guidelines on Urban and Territorial Planning are intended to be a framework for improving global policies, plans, designs and implementation processes, which will lead to more compact, socially inclusive, better integrated and connected cities and territories that foster sustainable urban development and are resilient to climate change. ”

IG-UTP, recommendation 8a(iii), pg. 15

Traditional urban planning has to change, and change quickly. Cities and human settlements are being refashioned by economic and demographic growth, migration, climatic risks, disruptive technologies and social fragmentation. Aspiration and opportunity are intertwined with destitution and disaster in a world that is interconnected as never before. Governments globally now acknowledge the need for action. A set of International Guidelines on Urban Territorial Planning (IG-UTP) have been created by UN-Habitat. This book explains the implications of those guidelines for four stakeholder groups: national governments, local authorities, planning professionals and their associations, and civil society organisations (CSOs) and their associations. It challenges each of these groups to rethink their assumptions and practices, because the facts about urbanisation and UTP have changed.

The book is a call to action. Our focus is international, because urbanisation is now a global phenomenon, albeit something that is localised and fashioned by different cultures and modes of governance. We aim to provoke each reader to engage critically with the book's propositions, and with their own practices. The book is deliberately short, a quick read accessible to many. It seeks to reinterpret the scope and purpose of planning, and to redefine how to practice it; this is not because the authors have all the answers, but because ideas need to be shared, tested and improved. As part of this process, UN-Habitat is producing other publications to support more detailed implementation of the principles advocated here.

THE STAKES ARE HIGH

In terms of urban development, we live in a time without precedent. Humanity is engaged in a momentous – even experimental – transition, from living on the land to living in urban areas. Getting it right is a necessity. A few facts encompass why the gaze has shifted to cities and to UTP.

- The urban population was 746 million in 1950 (29.6% of the world population); by 2015 it had reached 3.96 billion (54%). It is expected to total 5.06 billion by 2030 (60% of the world population) (UN-Habitat, 2015), and 6.3 billion (66%) by 2050 (Angel et.al., 2016). Almost all of this growth will happen in less developed countries (United Nations Population Division 2014, files 2 and 3).
- Cities occupy only 2% of the global land area, but account for 70% of GDP, 60% of energy consumption, 70% of greenhouse gas emissions and 70% of solid waste (<http://habitat3.org/the-new-urban-agenda/>).

“

We'll need to do a better job managing this planet of cities over the next decades than we did during the last few. The next half-century represents our last and only opportunity to get urbanization right. As we welcome hundreds of millions of people into our cities in the coming decades, we'll need our best tools to craft them into the cities we, and the planet, need. ”

G.W.McCarthy in Angel et.al. 2016, pg. vi.

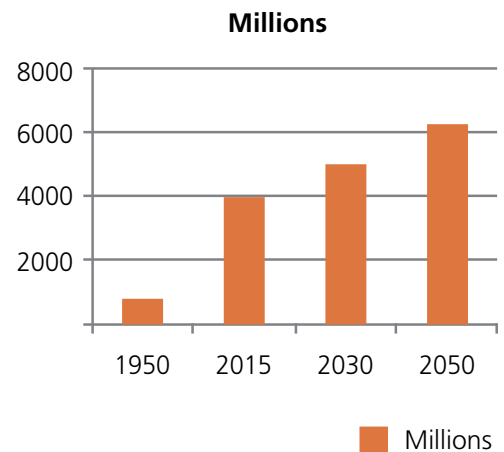


Figure 1:
Global urban population 1950-2015 and 2015-2025 forecasts.

Source: UN-Habitat 2015 and Angel et.al. 2016.

- Some 881 million urban residents, about a quarter of the world's urban population, are living in slums. Although slum dwellers have decreased as a proportion of the urban population, the high rate of urbanisation means that their numbers are increasing by around 6 million a year (UN-Habitat, 2016, 2 and 8). Reversing this growth is critical to eliminating poverty (SDG 1) and achieving many of the other SDGs, since slum dwellers typically are more exposed to disease and natural disasters and have precarious livelihoods. Women, children, youths and people with disabilities are especially vulnerable.
 - Urban areas are spreading at an even greater rate than their rate of population increase. While the population living in cities in less developed countries doubled between 1990 and 2015, on average their urban extents – their spread on the ground – increased by 3.5 times. Less dramatically, but equally important, the population of cities in more developed countries increased by a factor of 1.2 over the same period, yet their urban extents increased by a factor of 1.8 (Angel et.al. 2016, 3). This has implications for loss of agricultural land and food security, deforestation and waste management, for example.
 - We must expect urban growth and urban spread to continue: 440 “Emerging Cities” are expected to account for 47% of the growth in global GDP between 2010 and 2025. They are spread across 57 countries.
- A 2012 report from the McKinsey Global Institute predicted that by 2025 cities will build floorspace covering an area the size of Austria, and amounting to the equivalent of 85% of 2012's building stock. Three-quarters of this new floorspace will be residential (Dobbs et.al., 2012).
- Although the larger cities are at the leading edge of urbanisation, they are not the fastest growing nor do they represent the majority of the urban population. Half of the world's urban dwellers live in small settlements of less than 500,000 inhabitants, while 1/8 live in mega cities with more than 10 million inhabitants. Small and medium cities with less than 1 million inhabitants account for 59% of the world's urban population and are the fastest growing human settlements (UN-Habitat, 2016; UN Population Division, 2014).
- The tentacles of these epochal changes wrap around villages and rural regions too, changing forever places and landscapes that until now were thought to be timeless. The young and aspiring head to the town, or leave the small town for the big city. Many rural regions get trapped in a downward spiral: their shrinking and aging populations struggle to obtain or sustain the opportunities and services that are necessary to stem the outflow of people. Yet, if properly managed, urbanisation can create prosperity and lift people out of poverty, in both rural and urban areas.

A NEW GLOBAL AGENDA

In 2015, the United Nations (UN) adopted the Sustainable Development goals 2016-30 (SDGs). These 17 goals and their accompanying targets are internationally agreed and about outcomes. The debate is over: the task now is to deliver them, in every country. Goal 11 says “Make cities and human settlements safe, inclusive, resilient and sustainable.” Action on the ground is also needed to deliver on the other SDGs, e.g. on water and sanitation (Goal 6); health and well-being (Goal 3); and infrastructure, work and poverty (Goals 9, 8 and 1 respectively). Cities and human settlements are important for Goal 13 on climate action, but are also places where there needs to be action on reducing inequalities (Goal 10) and on gender equality (Goal 5).

Without changes in the ways that territories and urban areas are developing, the SDGs cannot be delivered. That is why the New Urban Agenda (NUA) was agreed at the Habitat III summit in 2016. In it the leaders from all the nations committed to:

- **Provide basic services for all citizens:** Access to housing, safe drinking water and sanitation, nutritious food, healthcare and family planning, education, culture and access to communication technologies.
- **Ensure that all citizens have access to equal opportunities and face no discrimination:** Everyone has the right to benefit from what their cities offer. The NUA calls on city authorities to take into account the needs of women, youth and children, people with disabilities, marginalised groups, older persons, and indigenous people, among other groups.
- **Promote measures that support cleaner cities:** Tackling air pollution in cities, increasing use of renewable energy, providing better and greener public transport, and sustainably managing natural resources.
- **Strengthen resilience in cities to reduce the risk and the impact of disasters:** This requires better urban planning, quality infrastructure and improving local responses.
- **Take action to address climate change by reducing their greenhouse gas emissions:** Sustainable cities that reduce emissions from energy and build resilience can play a lead role.
- **Fully respect the rights of refugees, migrants and internally displaced persons regardless of their migration status:** These vulnerable people need to be able to access the opportunities provided by urban areas.
- **Improve connectivity and support innovative and green initiatives:** This includes establishing partnerships with businesses and civil society to find sustainable solutions to urban challenges.
- **Promote safe, accessible and green public spaces:** Human interaction should be facilitated by urban planning, which is why the NUA calls for an increase in public spaces such as sidewalks, cycling lanes,

gardens, squares and parks. Sustainable urban design plays a key role in ensuring the liveability and prosperity of a city.

The NUA recognises that new legal frameworks, improved urban planning and design, and municipal finance, are the three essential topics for action (see <https://habitat3.org/the-new-urban-agenda/>). Some 33 points in the NUA spotlight the contribution expected from planning and managing urban spatial development.

“

We will support the provision of well-designed networks of safe, inclusive for all inhabitants, accessible, green, and quality public spaces and streets, free from crime and violence, including sexual harassment and gender-based violence, considering the human-scale and measures that allow for the best possible commercial use of street-level floors, fostering local markets and commerce, both formal and informal, as well as not-for-profit community initiatives, bringing people into the public spaces, promoting walkability and cycling towards improving health and well-being.

”

NUA, Principle 100

Much of the thinking behind the NUA is embedded in UN-Habitat’s International Guidelines on Urban and Territorial Planning (IG-UTP), and this is explicitly acknowledged in the NUA, para.93. The intention is that “National governments, local authorities and their partners will adapt the Guidelines to their national and local contexts and will develop and implement national guidelines reflecting their own institutional set-ups and capacities, and addressing their specific urban and territorial challenges” (IG-UTP, pg. 4). The IG-UTP complement the International Guidelines on Decentralisation and the Strengthening of Local Authorities (2007), as well as the International Guidelines on Decentralization and Access to Basic Services for all (2009).

The directions are settled: implementation is what matters now. While some of the items in the NUA and IG-UTP resonate with traditional concerns of planners and planning systems, others do not. Most planning systems were devised and codified in the twentieth century, before issues such as climate change, inclusion, equal opportunities, gender, resilience or renewable energy were thought about. Too often national and local governments and professional planners are using yesterday’s mind-sets and practices rather than connecting to the globally agreed outcomes that planning needs to deliver in this generation.



Planning has under-estimated the fast pace and amount of urban growth.

SUCCESSES AND FAILURES OF PLANNING

Planning systems vary between countries. Some, but not all, include plans at regional or urban scale. Some aspired to provide a physical complement to economic planning within command economies; others were designed to enable detailed management of land use change in market economies. A common feature across most systems has been the publication of maps to define the intended future use of land, typically for a 20-year period. Such maps are produced mainly by local governments (or by consultants or national agencies on their behalf) and have statutory power. These plans provide the basis for regulation of development,

through a requirement to gain permission, with the threat that unauthorised development can be penalised.

At times such systems have worked well. In Europe, planning played a vital part in the reconstruction of cities and economies devastated by war. Planning was used to identify and assemble land for new suburbs with decent and affordable housing, parks and public spaces, new schools and hospitals, and for roads and industrial and commercial development. This helped millions of people to enjoy living conditions immeasurably better than those of their parents' generation. The colonial export of planning saw the creation of trim garden cities and garden suburbs, albeit often at some distance removed from the homes of most of

the colonised. Where planning worked well it was closely tied to implementation, often because it was to a large extent a plan for public expenditure, and because the planning authority had the resources to regulate new development.

However, the unprecedented amount of urban development over the past generation has mostly been unplanned. Metropolitan spread has overwhelmed the administrative units that typically confine plan-making. Plans have under-estimated the rate and amount of urban growth, and the extent of informal housing in particular. It has proved difficult for the process of plan preparation and approval to keep pace with rates of urbanisation. Similarly, the enforcement of plans and regulations can easily be overwhelmed by the disparity between infringements and the staff resource available to planning authorities for enforcement. Quite simply, detailed regulation of development is relatively expensive and at present not affordable for many countries. Instead of leading and steering urban growth, many planning systems have been playing “catch up”, while in regions suffering from disinvestment, though plans have allocated land for development to reverse decline they cannot by themselves deliver the desired outcomes. This is why the IG-UTP (pg.10) stresses the need to keep plans up to date and to connect them to “the development and financing of housing, infrastructure and services”. Some Asian countries have built planning systems that have been used to drive development.

China and Singapore are examples of how planning can create prosperity by being linked closely to budgets and investment.

Traditional planning procedures and practices can also have unintended negative impacts on the lives and livelihoods of the poor, and contradict their human rights. While well-intentioned, minimum standards specified for new development can prove unaffordable, especially for new migrants to the city. Forced evictions for non-compliance with a plan can have a devastating effect on families. A blindness to issues of gender, in a desire to treat everyone the same, means that the particular needs of women, e.g. for economic opportunity and for safe movement about an area, have not been built into plans.

Economies have become more marketised and infrastructure provision has been privatised, and the private sector has become the main vehicle for regeneration of rundown areas that have market potential. In these circumstances, planning has become the handmaiden of developers, and its over-arching and integrating capacity has been drained, reducing it to just another regulatory silo. Nor can we ignore situations where planning is used as a tool of oppression, for example by enforcing segregation of ethnic groups, as was the case under apartheid. Professional associations and civil society groups need to be vigilant and prepared to speak out against such abuses.

There are many examples of civil society organisations being deeply involved in the practice of planning, either within the statutory system, or outside of it, e.g. in slum upgrading work. The IG-UTP (p.11) recommends

“

the effective and equitable involvement of urban stakeholders, particularly communities, civil society organizations and the private sector, in urban and territorial planning preparation and implementation,

”

and calls in particular for the involvement of women and youth

“

in implementation, monitoring and evaluation to ensure that their needs are taken into consideration and responded to throughout the planning process.

”

Planning should be a key part of decentralisation, but this can only work if there is support to the local authorities and their staff. Especially in smaller and non-federal countries, the cadre of trained professionals is usually concentrated in the capital, and even in one Ministry, preparing plans for distant towns and regions. To bring the benefits of UTP to residents of areas untouched by conventional approaches, it is necessary to

tap into their local knowledge, and celebrate and nurture “informal planners”. The example of Langrug, (see box 1) shows how UTP can be an inclusive, bottom-up process, an activity done with citizens, not to them.

Box 1 “Informal planners” at work: Langrug

Langrug is an informal settlement of about 1,900 shacks in Stellenbosch Municipality, South Africa. Community-based data collection became a key means of mobilising people in Langrug and advocating for their needs. A city-wide Urban Poor platform and finance mechanism was created to fund projects prioritised by the poor themselves. Meanwhile, each block within Langrug created its own block committee to oversee projects like installation of flush toilets or creation of play areas.

Hambleton, 2015, pgs.158-161

However, redefining the scope and culture of planning can be a contested process. For some, planning is primarily about making development orderly, as the Association of African Planning Schools (AAPS) found when it tried to engage planning students with informal development (see box 2).

Box 2 Planners learning about informal settlements: AAPS in Zambia

The Association of African Planning Schools (AAPS) has sought to address the problems of a colonial era curriculum and the lack of investment in training planners. It helped the University of Zambia to introduce a new UTP programme in 2013. Under a five-year agreement, Slum/Shack Dwellers International through its local organisation People's Process on Housing and Poverty in Zambia has partnered the university so that students work on real-life projects with those living in informal settlements in Lusaka. However, "many of the planners that went through the AAPS studios expressed the belief that informality is not part of a planner's work in Zambia. Indeed, some went so far as to say that efforts must be made to erase informality from urban areas altogether."

Siame and Muvombo, 2016

This book challenges those who are comfortable with the idea that planning is a way of micro-managing land use to deliver orderly development, or who believe that gender is not a planning issue, or that the SDGs, the NUA and the IG-UTP only apply to the developing world. Today's world is one world, where cities and human settlements everywhere face challenges that can no longer be left to resolve themselves. There can be no sustainable development without sustainable urbanisation, but to deliver sustainable urbanisation requires a radically reinvigorated UTP practice - everywhere.

A MANIFESTO

When the facts change, we have to change our ideas and practices. The facts of 21st century urbanisation mean that all of us – whether in national, regional or local governments, professional bodies or civil society organisations – now need to think in new ways about how we plan places. SDG 11, the NUA and the IG-UTP are the signposts. Here is a manifesto for a way of looking at and doing UTP, building upon the IG-UTP. The manifesto will be elaborated as a set of practices in the rest of the book, which after setting UTP in the context of human rights, follows the IG-UTP with chapters on the governance of planning; planning for prosperity; inclusive places; and managing the natural and built environment; before a concluding chapter.

MANIFESTO

UTP should be rooted in a global perspective

The target has been set in the SDGs: “By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries.” The IG-UTP support the achievement of the target, and should be used to that end.

UTP needs to be rights based

A set of human rights are set out in international conventions. These include the Declaration of Human Rights and the Convention on the Rights of the Child. These rights over-ride national traditions or practices, and should be the base for planning systems and practices.

UTP needs to integrate development with infrastructure

UTP must be strategic, leading development and conserving essential natural resources. Infrastructure is the starting point; development should follow it, rather than infrastructure being retro-fitted or the lack of infrastructure holding back development. Planning systems need to encompass the powers necessary to co-ordinate the investment of essential infrastructure.

UTP needs to be focussed on implementation

Without implementation plans at any scale are meaningless. Plans need to align public investment in development: this may require multi-level governance. Private and informal development can be influenced by the location of infrastructure, and plans need to utilise this dynamic. Planning creates value in land and a range of public benefits: a key task is to use that value and those benefits to aid implementation.

UTP needs to be informed by budgets but be robust

Budgeting is a key part of implementation. Budgets tend to fluctuate in the short term, while plans have a long-term focus. Plans need to be sufficiently up to date and robust to accommodate such fluctuations. This is easiest if they are not too detailed.

UTP needs to secure political legitimacy

Linking plans to the political electoral cycle can help in aligning them with budgets. For long-term projects, comprehensive public participation, including participatory budgeting, should be considered as a means of securing political legitimation that can survive changes of government.

UTP needs to be tuned to subsidiarity and diversity

Decisions should be devolved to the lowest level at which they can be taken efficiently. To deliver greater equity UTP should work in partnership with poor and vulnerable groups.

UTP needs to be clear, simple and rapid

Complex legalistic planning systems are exclusionary and impractical in situations where the human resource available to operate them is severely limited.

UTP needs to respect and capitalise on the special characteristics of places

While the principles are general, their application must always be sensitive to national and local contexts. UTP should conserve the intrinsic qualities of places that are important to their identity.

In acting on this manifesto:

- **National governments** need to review UTP legislation in the light of the SDGs and NUA and IG-UTP to make it fit for purpose. There should be a ministry responsible for UTP as an integrating force to steer urban and territorial development, linking sectoral policies to spatial policies.
- **Regional and local governments** need to commit to delivery of SDG11, and audit their planning practices to ensure that they are focused accordingly. They will need to work across institutional and administrative boundaries, and with civil society, using the IG-UTP so as to play the leading role in delivering safe, inclusive, resilient and sustainable cities and human settlements.
- **Planning professionals** and their associations need to ensure that all their members are aware of the global commitments, and that these are an integral part of the education and life-long learning that the associations support. They should drive change in the culture of planners, and be willing to speak out against any use of planning to subvert citizens' rights and the sustainability of cities and human settlements.
- **CSOs and their associations** need to hold their governments to account on delivery of the SDGs, NUA and IG-UTP, and to embed the principles from these global agreements into their own practices.

2

What needs to change?

A Human Rights-based approach to planning

“

Local authorities, in cooperation with other spheres of government and relevant partners, should... design and promote urban and territorial plans encompassing... Instruments to support the realization of human rights in cities and towns.

”

IG-UTP, recommendation 8a(iii), pg. 15

The Manifesto in Chapter 1 states that “UTP should be rooted in a global perspective”, and that “UTP needs to be rights based”. These two statements are mutually supportive, since the essence of rights is that they are universal. This chapter is pivotal to the case that traditional planning needs to change in many ways. It highlights the fundamental principles concerning human rights that need to inform such change and to underpin the way that UTP is practised.

HUMAN RIGHTS RELEVANT TO UTP

The training of planners and of politicians as decision-makers in planning rarely mentions the Universal Declaration of Human Rights (UDHR) of 1948, which was the forerunner of international human rights treaties including the International Covenant on Economic, Social and Political Rights 1966 (ICESCR). 80% of member states of the United Nations have ratified the ICESCR, which is regarded as a core treaty of the “International Bill of Human Rights”. The ICESCR is a central instrument of the Right to Adequate Housing, a right that is evidently of

very direct relevance to UTP. The ICESCR, using similar wording to the UDHR, refers to “the right of everyone to an adequate standard of living for himself and his family, including adequate food, clothing and housing.” The Right to Adequate Housing is also supported by various other internationally binding legal instruments, not to mention many regional agreements, and is referenced in several national constitutions.

Key characteristics of rights are that they are universal, cannot be waived or taken away, impose obligations, have been internationally guaranteed and are legally protected. While some other rights such as the right to life, liberty and the security of the person, or the right to a fair trial, are better known than the Right to Adequate Housing, there is no hierarchy among rights – they are indivisible and all equally valid. As has been carefully clarified by the ICESCR the Right to Adequate Housing is not

“ *merely having a roof over one’s head... Rather it should be seen as the right to live somewhere in peace, security and dignity.*

”

There are seven core elements of the Right to Adequate Housing:

1. Legal security of tenure, including protection against forced evictions;
2. Availability of services, including safe drinking water, adequate sanitation, energy for cooking, heating, lighting, food storage and refuse disposal;
3. Affordability, in that housing costs should not compromise occupants' enjoyment of other human rights;
4. Accessibility, taking into account the needs of disadvantaged and marginalised groups;
5. Habitability, providing physical safety, adequate space, protection from the elements;
6. Location, in relation to employment opportunities, health care, schools, childcare centres and away from polluted or dangerous areas; and,
7. Cultural adequacy.

It is evident that the Right to Adequate Housing cannot be properly assured without an effective, integrated UTP system, and that delivery of adequate housing for all should be a central aim of any such system. However, while making provision for sites for housing connected to social and physical infrastructure services is a familiar theme in plans, the example from Zambia in the first chapter showed that catering for the whole range of housing need - especially for lower income groups - is less universally regarded as the planner's role. If the Right to Adequate

Housing is to become a mainstream concern, then collaborations such as between the AAPS and the People's Process on Housing and Poverty in Zambia need to be widely replicated. Development that has been unplanned, or taken place under a planning system not rooted in human rights, has resulted in a situation where

“

throughout the world, slum dwellers have less access to health resources, have more illness and die earlier than people in any other segment of the population ”

(World Health Organization and UN-Habitat, 2010, pg. 5). Embedding the Right to Adequate Housing into UTP policies would be an important step towards creating more healthy cities.

The guidance given by ICESCR (General Comments 4, 7 and 16) also addresses forced evictions, another important issue for UTP. Fundamentally, force can only be justified in defined circumstances. This is relevant for countries where forced evictions are commonly carried out in the name of “good planning”. Many urban slums are located on valuable inner city land, and these have increasingly become areas of contestation, as developers seek to assert ownership of these areas and erect up-market housing and associated infrastructure and facilities.

To be clear, the Right to Adequate Housing means that priority must be given to groups living in unfavourable conditions. In situations of conflict or civil disturbance, refugees and displaced persons have the right to have restored to them any housing, land or property of which they were arbitrarily or unlawfully deprived. These “Pinheiro Principles” have to be factored into UTP in post-conflict situations.

The Right to Water and Sanitation is also of direct relevance to UTP. The legal background is not straightforward, but in 2002 the UN Committee on Economic, Social and Cultural Rights clarified that these rights were part of the right to an adequate standard of living on a par with rights to adequate food, clothing and shelter. This was confirmed by the UN General Assembly and the Human Rights Council in 2010. The scope and content of the right can be summarised as:

- The water supply for each person should be sufficient and continuous to cover personal and domestic uses;
- Water for personal use must be safe and acceptable;
- Water and sanitation facilities must be physically accessible for all sections of the population, taking into account the needs of persons with disabilities, women, children and the elderly; and
- Water must be affordable to all.

The provision of services in terms of availability, quality, coverage, capacity, and affordability must meet the above criteria. Planning in an integrated manner is the means by which it can be done, and progress is being made, as the box shows.

Box 3 Working with slum dwellers to integrate service delivery: UN-Habitat’s PSUP

Partners in the UN-Habitat Participatory Slum Upgrading Programme (PSUP) agree to adopt a city wide, participatory approach to slum upgrading aligned with city development plans. They also agree that there will be no unlawful, forced evictions of slum dwellers in the PSUP target neighbourhoods. They commit to inclusive and rights-based urban policies. However, a need that has been recognised is to avoid new slum formation, by planning cities ahead of their growth. A further feature of the programme is its emphasis on gender. In sub-Saharan Africa, some 20% or more of slum households are headed by a woman. All PSUP activities include women and men at every stage.

UN-Habitat, 2016, pgs.13, 20 and 22.
<https://unhabitat.org/slum-almanac-2015-2016/>

In this context, a right of particular note for UTP is CEDAW (Convention on the Elimination of All Forms of Discrimination Against Women <http://www.un.org/womenwatch/daw/cedaw/text/econvention.htm>), one of the seven core international human rights treaties. The inequality of women is one of the most pervasive human rights abuses. CEDAW secures women's equal right to security of tenure with regard to land, housing and property in international law. It also affirms women's right to work and to participate in recreational activities and sports, and that special measures aimed at accelerating equality for women do not constitute discrimination. The Convention was adopted in 1981, long after most of today's planning systems were set up, but clearly shows that gender needs to be taken into account when planning. Thus the IG-UTP (pg.16) says that UTP should

“

promote and ensure gender equality in the design, production and use of urban spaces and services by identifying the specific needs of women and men, girls and boys. ”

THE HUMAN RIGHTS-BASED APPROACH

There are other rights that are relevant to UTP. Many of them reinforce and extend the principles that have been incorporated in the rights to adequate housing, water and

sanitation. They have been summarised into a “common understanding” expressed as essential components of any human rights-based approach: empowering vulnerable and marginalised groups, universality and inalienability of all human rights, indivisibility, inter-dependence and inter-relatedness, equality and non-discrimination, participation and inclusion, and accountability and the rule of law. (UN Development Group, 2003 <http://hrbaportal.org/the-human-rights-based-approach-to-development-cooperation-towards-a-common-understanding-among-un-agencies>).

These international standards and principles for human rights constitute a normative floor for development. They give individuals as rights-holders a set of justified claims on the state, which is correspondingly the duty bearer. Human rights obligations also apply to private individuals and non-state actors. These obligations of duty bearers are of three kinds:

- *Respect* - not to interfere with their enjoyment, for instance, states should refrain from carrying out forced evictions;
- *Protect* - to ensure that third parties do not interfere with their enjoyment, for instance, to stop private speculators from carrying out forced evictions; and
- *Fulfil* - to take progressive steps to realise the right in question. For economic, social and cultural rights, which include housing and basic services, states have an obligation to meet a minimum essential level.



©Julius Mwelu/UN-Habitat

Urban and territorial planning can contribute to ensuring the right to adequate and nutritious food.

UTP is most frequently carried out as a function of the duty bearer – governments at various levels – and so must meet these obligations.

RIGHT TO THE CITY

Also of relevance to UTP is the developing notion of the Right to the City. During the drafting of the NUA, reference was made to countries that have adopted the Right to the City approach, but no consensus was reached on what, if anything, constituted the right. Is it just a collection of ratified rights that is made explicit at the city level, or is it an entirely new right or set of rights that needs to be formulated and ratified through the UN system? For example, there is no self-standing right to land within the

canon of human rights law, yet this is one of the most important levers in delivering social and economic justice in cities. Some have argued that the right to a city plan should be a component. While lacking the status of the other rights discussed above, the Right to the City has an enormous rallying power in cities where there is inequality and discrimination, or where services, land and housing are treated purely as commodities that are denied to many, especially to disadvantaged groups, be they women, youth, migrants, faith communities, LGBT communities or ethnic groups or simply just poor people. A failure of cities to respect economic, social, and cultural rights is widely seen as prejudicing citizens' ability to enjoy their civil and political rights, especially those related to participation.

Box 4 City networks for human rights: UCLG

More than 400 cities have signed up to the European Charter for Safeguarding Human Rights in the City (<https://www.uclg-cisdp.org/en/right-to-the-city/european-charter>). It includes a statement that “All citizens have the right to a proper, safe and healthy home” and follows this with “The municipal authorities endeavour to ensure an appropriate supply of homes and infrastructure for all their inhabitants, without exception, within the limits of their financial resources. They must include measures encompassing the homeless which will guarantee their safety and dignity, as well as safeguard structures for women who are victims of violence or who are attempting to escape from prostitution.” Furthermore “The cities commit themselves to develop social policies, aimed expressly at the most disadvantaged, which would reject any form of exclusion but champion human dignity and equal rights.”

There is also a World Charter – Agenda for Human Rights in the City (<https://www.uclg-cisdp.org/en/right-to-the-city/world-charter-agenda>) that was adopted by the United Cities and Local Governments (UCLG) in 2011. It includes action plans on a number of topics including the Right to Sustainable Urban Development.

HUMAN RIGHTS IN THE IG-UTP

The Human Rights-Based Approach, and especially the rights described in the “common understanding”, underpins the IG-UTP. For example, IG-IUTP principles on page 8 state

“

Urban and Territorial Planning is more than a technical tool; it is an integrative and participatory process that addresses competing issues and is linked to a shared vision. ”

The next statement of principle (also pg. 8) goes further: UTP

“

... promotes local democracy, participation and inclusion, transparency and accountability... ”

These are the key civil and political elements of the UTP process. They buttress the IG-UTP principles for UTP and Social Development (B1, pg. 14) which state that UTP

“

aims to realize adequate standards of living and working conditions for all segments of current and future societies, ensure equitable distribution of the costs, opportunities and benefits of urban development and particularly promote social inclusion and cohesion. ”

This is further supported by the IG-UTP principle found in section B2 (pg. 17):

“

Urban and territorial planning is a catalyst for sustained and inclusive economic growth, that provides an enabling framework for new economic opportunities, regulation of land and housing markets and the timely provision of adequate infrastructure and basic services. ”

These are the social and economic outcomes aimed for by UTP. They affect health, quantitative and qualitative housing provision, and equitable

infrastructure provision amongst other things and fully reflect the rights outlined above.

Rights also specify the need for safety. The IG-UTP takes this seriously in respect of disaster risk management (pg. 20):

“

Urban and Territorial Planning contributes to... improving the management of environmental hazards and risks. ”

This is particularly important because disaster-related deaths are concentrated in urban areas, and the number each year almost quadrupled between 1975 and 2005 (Brecht et. al, 2013, 2).

APPLICATION OF HUMAN RIGHTS IN UTP

Despite this growing interest in human rights in the context of human settlements, planning historically has barely explored the human rights theme. In developed countries there tends to be a concentration on civil and political human rights, particularly for participation, but social and economic rights receive less attention. Human rights are often seen mistakenly as a matter only for lawyers, whereas the embedding of urban-oriented human rights in international law gives the pursuit of them through UTP an additional legitimacy and moral leverage in the eyes of member states. Furthermore, it lies within

the realm of UTP not just to redress human rights deficits after the fact of their breach, but to be proactive in identifying and remedying social and economic inequalities, especially but not exclusively in the provision of land or of services in the pursuit of the Right to Adequate Housing. There is an opportunity here for CSOs and professional planners and their associations to demonstrate to their governments how they can assist them in meeting international obligations. Professional planning bodies should also be willing to confront serial offenders who fail to discharge their obligations, for example, those who regularly use forced evictions rather than making planned provision for adequate infrastructure and housing solutions for all sections of the community.

Planning as we know it today was invented to intervene in the markets for land and infrastructure services for the greater public good, and to address damaging inequalities. A human rights-based approach to UTP not only reinforces this *raison d'être*, but also helps align it with arguments elsewhere in this book about pro-poor planning. In addition to sharpening the perspectives of duty bearers, the human rights-based approach entails a move towards empowering rights holders to assert their rights. It points to designing planning processes that are locally owned and in which rights holders are recognised as key actors in their own development. This may entail capacity building of rights holders.

More fundamentally, it is now more commonly accepted that poverty is a product of disempowerment and institutionalised exclusion. If human rights are unfulfilled, there is an obligation to establish who is denying rights to whom. The spatial aspects of institutionalised inequality lend themselves to analysis and alleviation through UTP and its accompanying legal, regulatory and institutional frameworks. This could involve, for example, creating a balance sheet of the distribution of benefits flowing from plan interventions, covering gender, age, neighbourhood etc.

Box 5 Cities embracing human rights

Rights-based approaches are evident in the development of inclusive city policies in Lyon, France, which has adopted a rights-based approach to reducing spatial disparity and increasing participation through its citizens' forum. Eugene, USA has set up a human rights project, Stonnington, Australia has adopted a human rights charter, and Mexico City has set up a human rights directorate.

Brown and Kristiansen (2009)
[http://unesdoc.unesco.org/
images/0017/001780/178090e.pdf](http://unesdoc.unesco.org/images/0017/001780/178090e.pdf)

There is a need to promote and coordinate economic opportunities and housing provision and to ensure that all people receive basic minimum standards of services. Economic development specialists have tended to focus on business support and entrepreneurialism: too often the result has been uncoordinated and exclusive growth. Investment in infrastructure (water, sewerage, power, roads etc.) – which determines these outcomes – needs to be coordinated by an efficient, integrated investment process, as set out in the manifesto in Chapter 1, and further developed in Chapter 4.

A CULTURE CHANGE

In summary, the focus and the culture of planning and planners need to change as we move to UTP. The ambition has to be greater, the vision wider, and respect for human rights and the conservation of finite resources need to be guiding principles. Above all, the shift has to be made from a technocratic process satisfying bureaucratic requirements to a creative force informed by the pursuit of human rights through the development and management of cities and human settlements. Planners will have to move from being the impartial arbiter

of the public good to the empowerers of those who have been disadvantaged. This shift in the mindset of planners is not an optional extra or voluntary ethical alternative. Duty bearers are under an obligation everywhere. The exact goals planners will have to achieve under this dispensation are subject to national and local interpretation even though the direction of travel is clear. The variation between entities of different political, ideological and cultural hues and historical backgrounds will be large, as will the room for manoeuvre by planners. There is no one size fits all. But the same key questions will be asked of all:

“

what have you done to ensure that rights holders have been clear beneficiaries of the planning process, and how far have you involved them in that process? ”



National governments

Are you making full use of your UTP system to meet your obligations as duty bearers under international agreements to respect, protect and fulfil human rights?

Regional and local governments

Are your plans systematically addressing the needs of rights holders? Can you demonstrate that you have made positive provision for their requirements? Have you met human rights standards with regard to process by respecting the principles of equality and non-discrimination, participation and inclusion, and accountability and the rule of law?

CSOs and their associations

Are you challenging governments on their international obligations?

Professional planners and their associations

Do you recognise the need to change the culture of your profession to give a new engagement with the international development agenda? Are you working with others to change the curriculum of planning courses to incorporate human rights principles, especially in the interpretation of the concept of professionalism? Are you willing to uphold human rights in the practice of planning in the face of government opposition?

3

How to make the governance of planning fit to implement the NUA

“

Urban and territorial planning represents a core component of the renewed urban governance paradigm, which promotes local democracy, participation and inclusion, transparency and accountability, with a view to ensuring sustainable urbanization and spatial quality. ”

IG-UTP, 2015, pg. 8

The failures to adequately manage urbanisation, and the consequent inequalities and unsustainable development sketched in Chapters 1 and 2, frequently can be attributed to fundamental failures in governance, rooted in a disregard for human rights. If, during this generation, planning is just a top-down process, and/or it is narrowly focussed on regulation and disconnected from wider environmental, social and economic priorities, and/or corruption is endemic in public decision-making, then neither SDG 11 nor the NUA will be realised. In contrast, a transparent and participatory UTP system can itself be a powerful component of good governance.

Therefore, this chapter draws particularly on the section of the IG-UTP dealing with Urban Policy and Governance to set out essential actions to make planning work, showing how national, regional and local governments and CSOs and professional associations separately, and by working together, can make a difference. The Guidelines recognise partnership as an essential principle. The preamble to each section reflects this new awareness that the urban challenge is so great that it requires collaboration between all spheres of government, civil society and the planning profession, through multi-level governance.

NATIONAL GOVERNMENTS

Ministers and ministries have a leadership role that they should not shirk. They can influence how others act, and should seek to do so. As seen in Chapter 2, a starting point is to make the connection between their international obligations and their domestic UTP systems. Bold ministerial statements can help. Ministers and officials also need to work hard at building understanding and localising global frameworks amongst sectoral ministries and other spheres of government and other relevant stakeholders. This should aim to show how an effective UTP system can help them achieve their own aims, such as food security, environmental protection, or better, safer transport, for example.

Chapter 1 touched on the institutional setting of UTP responsibilities within government. Currently the planning function can be found in ministries with a variety of titles, such as Building and Construction; Environment; Housing; or Local Government, to name a few. There may be a separate “Ministry of Planning” that focuses on finance and economic development without really having a remit for where investment actually goes, or for regional development.

The best institutional arrangement will be one that works for the particular country, but can also ensure that there is the capacity to integrate across sectors, scales and actors and to embed awareness of the spatial dimension in policy implementation. UTP, as an integrative discipline, has a key role to play in performing that function. In some cases new ministries could be formed to implement the NUA. At the very least there should be disaggregation of data in monitoring the intended and actual impacts of sector policies – at regional, urban and at local level.

One means of integrating at national level is to formulate national urban policies, which would include clearly articulated and desired national outcomes. These would be a set of statements of government aspirations that all ministries are expected to work to achieving. Logically, these should be informed by the 17 SDGs, but tailored to national circumstances. Every government policy or major investment should then be required to demonstrate how it contributes to the national outcomes.

National governments need to consider whether their existing planning systems (including economic and development planning) are still fit for purpose in the light of the IG-UTP. This may lead to a review of the legislation. This should start by asking what are the real 21st century issues in our cities and human settlements, rather than by looking at what the 20th century system sought to address. Thus concerns such as disaster-risk, carbon reduction, gender sensitivity or

inclusive growth are likely to be more urgent than segregation of land uses.

Zambia passed a new Urban and Regional Planning Act in 2015. Amongst its stated aims are to

“ *establish a democratic, accountable, transparent, participatory and inclusive process for urban and regional planning that allows for involvement of communities, private sector, interest groups and other stakeholders in the planning, implementation and operation of human settlement development; ensure functional efficiency and socio-economic integration by providing for integration of activities, uses and facilities; establish procedures for integrated urban and regional planning in a devolved system of governance so as to ensure multi-sector cooperation, coordination and involvement of different levels of ministries, provincial administration, local authorities, traditional leaders and other stakeholders in urban and regional planning; ensure sustainable urban and rural development by promoting environmental, social and economic sustainability in development initiatives and controls at all levels of urban and regional planning.* ”

Government of Zambia, 2015. pg. 27

Detailed regulation and control are not appropriate for countries where resources are not there to implement and enforce such regulation. As the IG-UTP states, legislation should be enforceable and transparent. Legislation needs to be crafted with an eye on implementation, simplicity and cost efficiency and this may require different levels of regulation for different places, so that resources available can be deployed on regulating the most potentially damaging development, e.g. in high-risk areas, and not all development everywhere. Consideration should be given to developing planning systems based on the principle of lawful development, which freely

allows certain activities within limits which do not require regulation. This approach has been proposed in some traditional authorities in South Africa relating to traditional activities and building.

Clarity and simplicity help equity: UTP systems that are complex and leave loopholes for interpretation are exclusionary because they favour interests that can afford to hire skilled lawyers to represent them. A system must be created that gives voice to all relevant partners, including civil society, at all stages in the planning process.

Box 6 UTP for inclusive development and environmental protection: South Africa

Since 2010, South Africa has adopted a National Development Plan – Vision 2030, <https://www.brandsouthafrica.com/governance/ndp/the-national-development-plan-downloads>, the New Growth Path <http://www.economic.gov.za/communications/publications/new-growth-path-series>, and the Spatial Planning, Land Use and Management Act (SPLUMA). <https://cer.org.za/wp-content/uploads/2013/08/Spatial-Planning-and-Land-Use-Act-16-of-2013.pdf>.

These three national policy and legislative initiatives are all focused on inclusive socio-economic development and the need for environmental protection.

The National Development Plan provides the vision for sustainable development for the country and commits to the elimination of poverty and inequality by 2030: crucially it addresses the spatial dimension of the economy. SPLUMA establishes spatial development frameworks as the key instrument of UTP. The Act states that “spatial development frameworks and policies at all spheres of government must address the inclusion of persons and areas that were

previously excluded, with an emphasis on informal settlements, former homeland areas and areas characterised by widespread poverty and deprivation (s.7(a) (ii)). The New Growth Path Framework sets targets for inclusive growth, to achieve social and spatial cohesion.

South Africa seeks to integrate policy horizontally within territories but also vertically between levels of government. The national government's Medium Term Strategic Framework defines 12 outcomes, covering issues such as improved education, health, safety, employment, skills, economic infrastructure, vibrant rural communities, sustainable human settlements, responsive local government, enhanced natural resources, developmental public service and empowered citizenship.

Mashiri, Njenga, Njenga, Chakwizira, and Friedrich (2017)

National policies should inform the development of legislation, which in turn will create the enabling environment for the implementation of national policy. However, these should respect subsidiarity and the rights of other spheres of government to make democratic decisions about development. In larger countries, a statement of National Urban Policies can help to maximise and equitably distribute the benefits of urban growth, by addressing issues discussed in later chapters. Systematic "State of the Cities" reports can provide the evidence to inform adjustments to policies. See, for example, European Commission / UN-Habitat, 2016 http://ec.europa.eu/regional_policy/en/policy/themes/urban-development/cities-report/; South African Cities Network, 2016 <http://www.socr.co.za/>

There will be situations where national governments need to work together to create supra-national and cross-border strategies. This will be the case where functional ecological or economic activities straddle an international border. In the case of major river systems, for example, a transnational territory is likely to be the most appropriate unit to plan for disaster risk reduction. Such large-scale projects will work best when they also take account of the needs and skills of the people in the area affected.

Box 7 “UTP at Transnational Scale”: Mozambique, South Africa and Zimbabwe

In 2002, Mozambique, South Africa and Zimbabwe signed a treaty to establish the Great Limpopo Transfrontier Park (GLTP) covering 37 572 km². The establishment of the Sengwe-Thshipise Wilderness Corridor (STWC) was a key milestone in its cross-border conservation. In 2005 a Combination Authority was legally constituted to prepare a Local Development Plan for the corridor.

Focused group discussions were held with all segments of communities involved and a cultural exchange visit was held with the Makhuleke Community of South Africa to learn best practices in natural resource conservation.

Through this co-operation endangered wildlife populations have been re-established by opening up historic migration routes that previously were closed by border fencing. Major financial contributions from development agencies have been secured to support eco-tourism, employment opportunities and the corridor as a conservation area. Coordinated management has resulted in reduced maintenance costs.

Chimowa, 2015, 33

The precise role for national governments will depend on the scale and challenges of the country. General principles are to set legislation and national policy (respecting subsidiarity), and to monitor and support practice at regional and local scale, e.g. by providing practice guidance notes and evidence from relevant research. National governments should set the culture of UTP for their country, especially by stressing and rewarding collaboration across organisational boundaries. They should support the development of planning capacity at all levels, including ensuring that there are planners, and

support networks for them, in remote and rural regions.

UTP is a potentially contentious service, as it involves taking difficult decisions about development. The concept of “administrative justice” is important, and a matter on which national governments should take a lead. It requires that administrators follow fair procedures when taking decisions. This typically means that decisions should not be taken without prior consultation with those who will be affected. Decisions should also be seen to be

free of any prejudice or partiality. Administrators must also give adequate reasons, when asked to do so, for decisions they have taken. Members of the public must be informed of their rights to review or appeal and to ask for reasons. South Africa has developed the idea of administrative justice and put it into legislation and practice – for more see <http://www.justice.gov.za/paja/faq.htm>.

In countries where national governments have legislated to require professional registration of planners, a Code of Conduct should be written into the relevant Act to proscribe a professional planner taking gifts or favours to influence decisions improperly. In addition, such codes should underline the need to respect human rights and to act for the public good.

REGIONAL AND LOCAL AUTHORITIES

Most planning is about managing change at the regional, city and local level. In some situations national governments will fail to act: however, there is increasing evidence that major cities and metropolitan regions can take the initiative by developing plans, which may not be statutory, to meet their own needs, and negotiating these with the other stakeholders whose support is necessary for implementation. The IG-UTP stresses the need for a financial plan for affordability and cost-effectiveness: plans need to be realistic about resources, but capture of value from development opportunities created by the plan can help. In some instances, limited

resources and expertise means that a wide range of partnership arrangements of different types may be explored to implement a plan, provided these are based on transparent arrangements, respect human rights and maintain effective accountability.

As with national government, there are issues about the institutional setting of planning within local government. There is a case for planning which is strategic and broad in scope, staffed with people with skills in spatial and economic analysis, directly engaged in budget processes and reporting directly to the Mayor or Chief Executive, rather than in its own “silo” where it is at risk of being marginalised. However, it is then essential that at leadership level there is appropriate expertise in UTP able to give independent advice. Without this, there is the risk that a particular sector (e.g. transport or economic development or housing) might dominate decision-making.

Political and administrative leadership can help to deliver the human rights-based planning now needed. All planners and elected members should be made aware of their obligations under international agreements. Particular regard needs to be paid to gender and how planning affects women differently to men due to asymmetric power relationships in most societies. They need to be shown how these concerns can be incorporated into decisions they will need to take at the local level. Councils also need to be alert to the risks of corruption in the delivery of their planning service, e.g

through adopting a robust Code of Conduct to regulate the actions of officials and politicians. When entering partnerships there should be transparency, and clauses of “commercial confidentiality” should not be used to hide from the public deals and decisions over development or commercialisation of civic spaces.

The IG-UTP (pg. 10) make the point that it is necessary to plan and manage cities at the appropriate scale. Functional urban areas (typically defined by journey-to-work catchments) now rarely coincide with local

government boundaries. This can also mean that the divide between affluent and poor neighbourhoods is entrenched between different local authorities, excluding the poor from access to opportunities and services. While solutions will vary from place to place, there needs to be a willingness to innovate so as to take effective action at the regional or metropolitan scale if transport systems are to work effectively and the impacts of urban spread on the natural environment are to be managed. This is a further illustration of why a territorial dimension is needed.

Box 8 Metropolitan Planning: Lyon 2010

Lyon is the third largest city in France, with a population of over 2 million. Greater Lyon Metropolis, the metropolitan inter-municipal body which brings together 59 municipalities, has been responsible for the territorial development of the region for more than 50 years. Lyon’s main challenges have been metropolitan coordination, regeneration of mixed-used districts in the core city, integration of deprived suburban districts in the metropolitan dynamic, quality of public spaces and integrated heritage management. In 1992, the “Lyon 2010” plan was approved for the metropolitan region. It set out main lines of development areas of future urban projects based on the regeneration of former industrial districts and brownfields. The plan also envisioned new metro and tramway lines to connect the city centre and the suburbs. Programmes for urban renovation, renewal and revalorization have been developed since 2008 to improve the provision of services and the quality of life in deprived neighbourhoods. A system for local management complemented this renewal initiative, improving the maintenance of public spaces and increasing safety and security.

Bariol-Mathais, 2015, pg. 19

Local authorities should be looking beyond their boundaries and co-operating with neighbours even if no regional scale authority exists. Like national governments they should define outcomes and ensure that all their activities and policies contribute to delivery. Even if the statutory planning system does not facilitate the practice of integrated development planning, local level decision-makers should explore the scope to create integrated development plans. There is nothing stopping local government from undertaking UTP which will address the needs of their citizens. A functional region approach to UTP, budgeting and expenditure can

ensure that municipalities derive dividends from collaboration and avoid destructive competition. Spatial expression of financial plans facilitates better alignment of resources expenditure. Post-apartheid South Africa set up such a system and has operated it for long enough to draw some conclusions. Lessons drawn from its operation are that it is important for plans to be more than broad, aspirational spatial concepts: they needed a “harder edge” by better understanding urban economics and by being more closely linked to infrastructure (Todes, 2008, <http://journals.ufs.ac.za/index.php/trp/article/view/608>), themes that run through this book.

Box 9 **Creating an Integrated Development Plan: Theewaterskloof Municipality**

Theewaterskloof Municipality is located in the Western Cape, east of the City of Cape Town, and is home to around 120,000 people. It was formed in 2001 by the amalgamation of eight towns, a move that prompted resistance because it was seen as centralising. Over the years that followed the municipality managed to adapt its structures and working practices to devolve much decision-making and responsibility for managing service delivery to local or ward level. These local level units played a key role in the participatory planning that prepared the municipality’s Integrated Development Plan (IDP).

The IDP process commenced at council and executive level, but then local level engagement occurred through which local or ward level IDPs were prepared. The ward committee system was introduced by the government with the aim to enhance participatory democracy and governance in municipalities (i.e., “The People Shall Govern”). The local level IDPs were then taken to public meetings before being fed into the preparation of the Municipal Integrated Development Plan, which reflects input from all ward level groupings. This process links the prioritisation of the Municipal programme to its budget. Final approval at Municipal Council

level followed. As many sectors such as the business chambers, agricultural and ratepayers associations do not like participating in public meetings, separate consultations are held to ensure that an inclusive analysis is done of the issues faced by the municipality. The IDP process was therefore inclusive and facilitated the participation of community groups in a decentralised manner, reflecting the new post-apartheid planning system and the objective of the South African Constitution to take governance to the people and to allow them to participate through devolution.

UTP will need to be accompanied by a culture change. Traditional planning was often characterised by the primacy of rules and regulations and a bureaucratic and often hierarchical culture. This was understandable in a profession that was historically grounded in the orderly control of development by

impartial experts, although this model was by no means ironclad. But UTP will be less typified by the application of protocols and procedures and more by partnerships and empowerment of claims holders. This will require a different culture: one of flexibility, openness and willingness to negotiate.

Denmark made major changes to its planning system in 2007. Fourteen counties were replaced by five regions. The responsibilities that the counties had had for land use planning were passed to a lower level, the municipalities. Instead the focus of the new regions was towards making growth-oriented strategies through partnerships. This also meant a shift from a rule-driven approach rooted in welfare distribution to an emphasis on networking and facilitation. It required a change in the planning culture: trust of other stakeholders (public and private) had to be earned for the new system to work. Such trust was at an interpersonal level, but also trust in the professional competence of the planners. Key qualities required to be demonstrated – honesty, fairness, reliability, openness, integrity. Providing incentives such as co-funding or knowledge support helped.

Summarised from Hansen and Lemvigh, 2012

As with national governments (see above), councils need to ensure administrative justice. People need to be able to challenge decisions and seek redress through procedures that are open and independent; they need to be kept informed and empowered to act to resolve issues affecting them. For example, information may need to be available in minority languages, and public meetings held at times and in places that can be accessed by everyone. Councils should

also be alert to the potential of mobile phones to provide spatial data or to crowdsource views, though care is needed to consider information from those not connected in this way. There is scope to link plans and budgets through use of participatory budgeting, a method pioneered in Brazil but since then adopted in other places internationally, as it can offer benefits in terms of transparency and inclusion.

Since the early 1990s Porto Alegre, a Brazilian city of 1.5M, has pioneered the practice of participatory budgeting, which over 1500 other cities are now following. It gives representatives of local and civil society groups the right to decide how to allocate public resources, to be executed in works and services by the municipal administration. There is an annual cycle which has three phases: preparatory meetings, a 17 regional and six thematic meeting round, and a municipal general meeting. All city investments are subject to the participatory budgeting meetings approval. Participatory budgeting has contributed to social inclusion and cohesion, as well as to strengthening CSOs in order to allow them to mainstream their proposals. Lower income segments of the population have strongly engaged in meetings. Tangible benefits have also been produced in infrastructure projects, with improved accessibility to jobs and housing.

Summarised from De Souza, 2015



The participation of civil society is key for implementation and sustainability of planning proposals.

CSOS AND THEIR ASSOCIATIONS

Even the most powerful and well-resourced local authority will not be able to implement its desired policies and programmes by itself. The involvement of civil society is a key theme in the NUA and the IG-UTP. This can take many forms and reflects differences in governance cultures. Public participation has become a formal requirement in some planning systems, and is strongly advocated in the IG-UTP. However, in practice it may amount to mere tokenism, a “plan-present-defend” approach with people being given information but no effective influence.

A human rights-based approach to planning means recognising the rights of all citizens, including youths, those living in informal settlements or on the streets, migrants and other vulnerable groups who are often overlooked in data collection and plan-making. CSOs may need to make the point that key stakeholders should have a say in creating the platforms for engagement, the methods of engagement, and the reporting of the results. Being involved makes demands on time and other resources: “participation fatigue” and disengagement will set in if the process is being done to civil society rather than with civil society.

In 2015-16 four local authorities from remote and mainly rural regions in Sweden, Poland and Latvia were partners in a project called Young Eyes, supported by the European Union's Erasmus programme. The project sought to engage youths in planning their towns. The young volunteers, were guided by professional youth workers, and followed a shared set of guidelines covering governance, place identity and attractiveness. They worked locally but came together for four international workshops to share experiences. Amongst the techniques used was "tea with politicians" where the youngsters engaged in face-to-face meetings with their local mayor and other leaders to learn about how decisions are taken, but also to present their views. Finally each group produced an Action Plan for their town viewed through their "Young Eyes", and presented it to their municipal council.

Summarised from Innovation Circle, 2016

The people living and working in an area are likely to know more about it than can professionals in offices some distance away. Local politicians and civil society organisations can help bridge the gap, but so can direct involvement of local people, e.g. by conducting safety audits to assess where planned interventions are most needed, or compiling an inventory of buildings with cultural importance for the people, or getting young people to identify where they play and how their access to play space can be improved. Proposals shaped and supported by local people are more likely to be implemented and sustained than those imposed - top down.

PROFESSIONAL PLANNERS AND THEIR ASSOCIATIONS

Professional bodies need to remember that they exist to serve the public good by ensuring that their members are competent and provide independent and objective advice; they are not trade unions protecting the interests of their members in job markets. At a time when UTP itself needs to change to be relevant to today's and future challenges of urban development, professional associations will need to reassess the knowledge, skills and attitudes required of their members, and how these are developed, assessed and kept up to date. Working more closely with other professions and disciplines to improve integration across sectors could open opportunities for new hybrid types of professional, e.g. at the interface between UTP and public health.

Professional associations are more likely to thrive if they are innovative and open to new ideas and new members than if they are defensive of their status and are locked into traditional thinking about planning. There is a leadership role to be played here. There are countries where few resources are invested in research into UTP, and therefore practice is less likely to be based on evidence or informed by new ideas. Professional associations need to advocate for such research as an important input to policy-making, and should explore ways to foster and support it, e.g. by publishing topic-based papers or encouraging research/practice networks.

The associations need to be transparent and accountable to their members, and guard against a small group of the same people dominating the officer posts for extended periods. Involvement in governance by women, young people, minorities or disabled people should be actively promoted and facilitated. Use of technology can result in greater opportunities to involve and support members, especially those working in remote areas or small states where there are few professionals.

Codes of professional conduct need to be fit for purpose in the context of a human rights-based planning culture, e.g. requiring members to actively engage with equal opportunities. Such codes should make it clear that deliberately exclusionary planning practices are

not acceptable standards of behaviour and may be penalised. Where a national registration Act exists but fails to cover these matters, the professional body can set higher standards for its members through its own codes.

Globally, the places that have high rates of urbanisation and/or most exposure to climate change or other hazards, and so are most in need, have few planners or related professionals. Planning associations can contribute to the delivery of SDG 17, which is about global partnerships for sustainable development, by supporting and showing solidarity with less well-resourced groups of professionals, e.g. in small island developing states. Co-operation between different professions can also help to build more integrated practices. Online open access learning materials can be shared, and peer-to-peer learning and mentoring can be facilitated not just nationally, but internationally.

Professional associations can exert their independent role to hold governments to account in the delivery of the NUA and implementation of the IG-UTP: the associations should lead practice, not just defend it from outsiders. Professional bodies can also mobilise the resource of their members as volunteers to support poor and marginalised communities in participatory planning processes for making and implementing plans, as the example of PAS shows (see box 10).

Box 10 Mobilising youths and planners as volunteers: PAS, Scotland

PAS (formerly Planning Aid Scotland) is a social enterprise. It provides independent training and advice to individuals and groups on how to get their views heard within the planning system. It has a few paid staff in its Edinburgh office, but its main work is delivered by some 400 planners – more than 1 in 5 of the professional planners in Scotland – plus some other built environment professionals who give their time for free. PAS' office team connects these volunteers to the clients, and ensures that they are properly trained for the tasks. PAS volunteers have worked with groups like gypsy travellers whose voices have traditionally been unheard when reaching planning decisions.

PAS volunteers have also worked with schools and youth organisations on a Young Placemakers scheme that gives training in UTP to teenagers and young adults. Then the Young Placemakers are encouraged to become volunteers themselves and help to develop and pass on their know-how to others, all within a PAS-supported programme. The pitch to attract Young Placemakers is very inclusive: it says "Maybe you have great graphic design skills and could design promotional materials to help us shout about a community event. Perhaps you want to work with younger children and could assist at one of our primary school workshops. Or you could put your gift of the gab to good use and could promote place making to other members of the public? Or perhaps you just want to see a new skate park developed where you live – learn how to make it happen by working with us. You can also be buddied up with an experienced planner who can help show you the ropes and support you throughout your time volunteering with PAS."

For more see www.pas.org.uk.



National governments

Is the UTP function placed within government in a ministry where it can help integrate other sectors' activities so as to deliver on the SDGs and NUA? Is the legislation for urban and regional planning fit for purpose to meet 21st Century challenges? Are there national urban policies and is there monitoring of, and reporting on, the state of the cities? Is research undertaken or commissioned to inform planning practice? Is support given to the decentralisation of planning, including to remote and rural regions? Are there opportunities for cross-border planning initiatives? Above all, does the government value and promote collaboration between departments and different levels of government so as to promote integrated planning?

Regional and local governments

Is the UTP professional team able directly to access top-level decision-makers? Are politicians given training on UTP? Is there a Code of Conduct and other procedures to guard against corruption and ensure transparency in all planning matters and is it enforced? Is there co-operation with neighbouring authorities to ensure that plans take account of activities that extend beyond administrative boundaries? Are plans linked to budgets and cost-effectiveness, and assessed for their distributional impacts in terms of promoting equity and their contribution to authority wide outcomes? Is there administrative justice?

CSOs and their associations

Are there opportunities to contribute your knowledge and skills to the process of making and implementing plans? Are they being fully used – or do new approaches need to be created? Is know-how being shared with other CSOs?

Professional planners and their associations

Are the association's constitution and governance arrangements fit for purpose in the 21st Century? Are women, young planners and minority groups fully involved in governance of the association? Is the Code of Professional Conduct fit for purpose and attuned to a human rights-based planning practice? Are the resources of the profession being mobilised to use members' skills to promote an equitable form of planning practice? Is the association actively promoting the IG-UTP to its members? Has the association explored ways in which it could support international partnerships with small or nascent groups of professionals elsewhere? Are planners being encouraged to volunteer their time and skills to work with other professions and non-professionals to help groups who need such assistance?

4

How to use planning to create prosperity and opportunity for all

“

Urban and territorial planning constitutes a powerful decision-making mechanism to ensure that sustained economic growth, social development and environmental sustainability go hand in hand to promote better connectivity at all territorial levels. ”

IG-UTP, 2015, pg.17

Freedom of movement and residence, and the right to work are amongst the human rights discussed in Chapter 2. Cities are growing because they create opportunity and wealth and hope for a better future. Connectivity and agglomerations provide large markets for goods and services, labour and the exchange of ideas. They can help people escape from poverty. New migrants and women find it easier to get work and independent earnings in urban labour markets than in traditional rural economies, though urban living costs are higher. Decision-makers who understand these dynamics and plan accordingly are more likely to succeed than those who try to ignore them. Plans that aim to “cap” the population of a city at an arbitrary number, or to prevent the movement of people to cities failed in apartheid South Africa and are failing elsewhere. They are not realistic in situations of natural population increase and migration. They are not implementable, exacerbate housing shortages, fuel informality and criminalise new migrants to the city. There is no optimum city size; while urban growth does indeed create diseconomies (e.g. pollution; congestion), and there are some infrastructure thresholds, an effective approach to UTP can address these.

Traditional land use plans have often laboriously catalogued existing industrial and commercial premises, and then allocated further land for such uses. They have sought to ensure that new sites are suitably located and properly serviced, which are indeed desirable outcomes. Yet in many situations the plans are never implemented, and implementation is a key principle in the manifesto in Chapter 1. New technologies and business practices are fundamentally changing the form and development of urban areas. This chapter expands on the call in Chapter 2 and in the IG-UTP to connect economic development into UTP. It explains how to plan urbanisation to create and share wealth. It demonstrates how the UTP principles of understanding market forces, integration of planning with budgets and infrastructure, working with rather than against informality, and understanding gender dynamics all combine to create equitable prosperity.

INFRASTRUCTURE, SERVICES AND CONNECTIVITY

Previous chapters have stressed the need to plan infrastructure and services so that they are integrated and able to contribute to desired spatial outcomes such as regional equity.

Infrastructure has a long lifespan and so can shape and lead development and shape patterns of mobility for many years, provided it is planned in areas with development potential. Without that precondition, it should not be assumed automatically that infrastructure will initiate or incubate development. By planning infrastructure to maximise development opportunities, clear messages can be sent to investors – formal and informal. However, to avoid land piracy or large speculative gains to landowners, large-scale development corridors based on planned infrastructure and service networks need, wherever possible, to be packaged with land assembly and release, especially in situations experiencing high levels of demand. In making urban expansion plans to accommodate demographic and economic growth, the expected contributions by the public and private sectors should be made clear. These need to cover capital, operation and maintenance costs of infrastructure, with the view to mobilising appropriate resources which may come from a variety of sources including local taxes, and other locally found income, and reliable transfer mechanisms.

In addition, the long-lasting nature of much physical infrastructure means cities can get “locked into” systems that are unsustainable or become inefficient: therefore, when planning new infrastructure services, rapidly growing cities may be able to gain competitive advantage by looking for systems that are based on sustainable resource use. Conversely, cities that are not

growing rapidly should prioritise maintaining and upgrading their existing networks rather than seeking to spread development that would require investment in new infrastructure. UN-Habitat (2012) <https://unhabitat.org/books/optimizing-infrastructure-urban-patterns-for-a-green-economy/> has some useful suggestions.

Box 11 Lagos BRT

Lagos is growing rapidly but its existing infrastructure is struggling to cope with some of the increased demands. In particular, traffic has increased because of urban growth but also rising living standards, car ownership and unregulated and often poorly-maintained mini-buses and taxis. The resulting congestion is a drag on the city's economy, and also has negative impacts on air pollution, public health, and stress. In 2006, the government formulated a Strategic Transport Master Plan aimed to address poor mobility in the city, especially for the poor. Instead of adding more roads, the existing road network was incorporated into the design of a Bus Rapid Transit (BRT)-Lite system. This has delivered important outcomes – reduced journey times, shorter waiting times at bus stops and less exposure to air-based pollutants.

UN-Habitat, 2012, pgs. 38-42

Connectivity to places and to service networks matters for economic development and for improving access to employment opportunities, and again this is easier to achieve if the infrastructure precedes rather than follows the development. In unplanned cities, the poor are unlikely to be able to access adequate housing that is close to major sources of jobs. By taking a long-term UTP perspective on urban growth, but building in flexibility about the pace of that growth, it is possible to meet both present and future needs and address the human rights highlighted in Chapter 2. In traditionally planned cities, green belts have often been used to contain urban spread, though they extend commuting distances especially for those unable to afford housing inside the city. In situations where the team of planners available to enforce control of development is small, and growth pressures are strong, sustaining the green belt will be a losing battle. In contrast, in such places plan-led infrastructure (usually based broadly on a grid but adapted to local topography and situations) is probably the best way of shaping where informal and “unplanned” development will go, because it is likely to cling to those networks.

The specific configuration of such infrastructure services networks and urban growth patterns will depend on local conditions. For example, grid-based structures are relatively simple to design and have the capacity to handle growth in a flexible manner. However, each city is unique and needs a customised approach to its growth.

Box 12 A UTP approach to urban expansion: Colombia

Five cities in Colombia, Monteria, Valledupar, Santa Marta, Tunja, and Yopal, are each working on an Urban Expansion Initiative for their own city. Recognising the inevitability of their urban expansion, each city is mapping land that will need to come into urban use in the next 30 years; extending their municipal boundaries; identifying land for a 25-30 metre wide grid with a 1km spacing for arterial roads and other urban infrastructure, and identifying a hierarchy for public open spaces throughout the expansion area, and transferring land rights for these spaces and the rights of way for all the roads to the municipality. Development banks Corporación Andina de Fomento, and Financiera del Desarrollo Territorial, will work with the cities to finance implementation.

Stern School of Business, 2015, pgs. 7-8; The Economist, 21 July 2014

Transport infrastructure in particular creates sites with economic value and opportunity. Transit hubs naturally become sites of more intensive, denser activity whether for retailing, recreation, warehousing, housing or mixed use development. This is true for the formal sector; but also such sites will attract informal activities such as hawkers or informal taxi stands. By recognising and anticipating this dynamic, plans can be implementable but also set conditions to capture the value created and negotiate public benefits in line with the NUA. Transport nodes, corridors and inner cities, because of high intensity movement and use, require specific urban management responses: this has often been an overlooked aspect of city planning and management. It is also important to be aware of the gender and age dimensions of transport provision, with women particularly using public transport or walking to work and business

sometimes favouring multi-destination routes rather than radial routes because of differing socio-economic demands to men.

URBAN - PERI-URBAN - RURAL RELATIONS

In rapidly urbanising countries there is particular pressure on peri-urban areas as cities expand, and high potential for conflicts to occur. For example, the urban-rural interface can juxtapose formal and traditional systems of land ownership and rights. In order to fairly share the value created by the urbanisation process, some form of alignment needs to be reached between the two systems. To achieve this a form of planning is needed at a larger scale than the town or municipality and that is collaborative and consensus-seeking, hence the notion of UTP and the territorial dimension.

“

In India, lack of access to certain types of infrastructure services (transport, access to water, and sanitation) affect women more than men, and are a barrier to much needed female entrepreneurship. Transport infrastructure is important, down to the most basic level including provision of paved roads within villages which were found to be especially important. The fundamental point is that women face greater constraints to travel. Improving transport infrastructure can remove one barrier preventing female entrepreneurs from accessing markets. In addition, better electricity and water access may reduce domestic burdens on women, and so allow them to give more time to be directed to entrepreneurial activities. ”

Over three billion people in developing countries live in rural areas. Their numbers are increasing and are expected to continue to do so until 2028 (OECD, 2016, 20). Despite the urbanisation of poverty, many rural areas are still marked by poverty and lack of opportunities, especially for women. Rural development therefore remains essential to achieving the SDGs, and is explicitly addressed throughout the NUA. However, there

is an increasing call for rethinking the urban – rural question. Traditional “town and country planning” has either not been practised in such regions or has struggled to have an impact. Different approaches are needed, and UTP with its emphasis on a development-led and inclusive agenda has a part to play.

Traditional planning has been weak or non-existent in many intermediate towns, and consequently their urbanisation has been uncontrolled, with spatial and social segregation and inappropriate basic services. This is the situation in Lichinga city (Mozambique) and in several towns across Santa Fé Province (Argentina). Yet such towns face current challenges and have an important role to play in the future. To maximise their local urban potential, Lichinga city and five pilot cities in Santa Fé partnered with the UCLG to develop and implement their own Base Plan. The aim was to strengthen the management capacities of local governments and provide an entry point for further integrated physical and strategic planning. As a document, the Base Plan simply provides a graphic representation of the varying physical components that make up the urban area or territory to provide an overview of the development challenges and opportunities of the area. Faced with a lack of previous practice and tools for planning, a simple and quick method was an essential starting point, with the chance to then build on the experience. The Base Plan approach has been rolled out to other towns in the province.

Summarised from Maria, J.L., and Hoeflich, S., 2015

Economic weaknesses are a fundamental constraint to rural development. There are not enough productive economic opportunities, education provision lags, markets for goods and services are weak and basic infrastructure is lacking. However, many countries still equate “rural” with agriculture, and leave rural development to agriculture ministries. The vital role of small and medium-sized towns to rural development is often overlooked, yet UN-Habitat and the UN Centre for Regional Development (2015) https://unhabitat.org/wp-content/uploads/2016/03/Monteria_Communique.pdf highlighted the importance of intermediate towns and rural service centres in giving people access to basic services. The IG-UTP advocates “strengthening urban-rural linkages” (pg. 2), and “improving urban – rural complementarities” (pg. 21), and achieving “economies of agglomeration and scale between neighbouring cities and with their rural hinterlands” (pg. 18).

Decision-makers should not view rural areas in isolation. A territorial development approach is needed. In South Africa, for example, local government boundaries have been changed to enable this. Better transport links to urban areas can support rural industries and help rural residents to access larger labour markets. Investment in providing and sustaining services across a hierarchy of small and intermediate towns can also yield significant benefits in creating markets, and providing employment opportunities. Flows of people and resources between a settlement and its hinterland are two-

way, and a successful approach to the planning of small and intermediate towns is likely to identify and seek to strengthen their special assets, while also looking to capitalise on the opportunities of access to larger urban centres. Professional level jobs in rural areas are most likely to be in the public sector and in the towns, and are important for retention of skilled households and for quality of service delivery. They should be part of any territorial development strategy.

CLUSTERS

Enterprises tend to cluster as this gives them competitive advantages. Every street market reflects this. While plans cannot force or determine business links, they can facilitate them, e.g. by developing research parks where there are links between universities and product designers. National governments (in conjunction with other spheres of government) may assist by designating areas as Special Economic Zones or free trade areas, and ensuring that the necessary infrastructure and connectivity is in place. However, in promoting clusters based on a particular industrial sector, decision-makers should diagnose a region’s economic strengths and seek to capitalise on them, rather than chasing industries at random. Much can be learned by looking at what clusters already exist (which can be by design or a result of organic formation) in a country or region. This can involve identifying the locational advantages, and discussing with firms in such clusters to find out what attracted them to this location.



Urban centres: places of opportunity and agglomeration

Both small rural clusters, which are nuclei of urban growth, and metropolitan conglomerations are centres of economic growth, places of opportunity and allow agglomeration economies to develop. It is critical to understand the dynamics of both to maximise the development potential of each and to strengthen the economic, social and environmental linkages between them. UTP

puts higher priority on such knowledge and analytical skills than did traditional planning. Most businesses need property to operate from and reliable connections to customers and to suppliers. These are matters that UTP can enable, whether for street markets, agricultural hubs or large manufacturers.

Box 13 **Small business clusters and rural development: Indonesia**

In rural Indonesia, small- and medium-sized enterprises and micro-businesses have used clustering to be competitive. Cottage industries are connected to urban markets far away by middlemen, whose operations help the rural industries overcome disadvantages of scale and distance. These industries are important sources of jobs for women and youths. Research suggests that the best way for governments to support such rural industries is by transport improvements that enhance their access to markets.

OECD, 2016, pg. 252

ENTREPRENEURSHIP AND LIVELIHOODS

Evidence suggests that entrepreneurs are most likely to start a business near where they were born (Rosenthal and Strange, 2012, pg. 19). This means that the local population is an extremely important economic asset, upon which plans should seek to capitalise. Starting a business requires a property to operate from. At first this may well be the home, so actions to provide adequate housing opportunities with secure tenure are likely to increase the chance

of business start-ups, as well as having benefits to health and well-being. In addition, regional and local councils should ensure that there are suitable and locally available premises available for small businesses. These will need to be cheap and easy to rent for short periods, for example, disused or under-used premises may be suitable for low-cost conversion to managed workspaces. Higher densities, a range of housing typologies and mixed uses create economic opportunity and increase the accessibility of the jobs to those who need them. These characteristics underpin the economic vitality of many areas of informal settlement, and need to be understood by decision-makers. Plans and regulations need to appreciate the value of the informal economy and its importance to the livelihoods of very poor people. If plans fail to work with informal economic activity, then the intentions of the plan are likely to be thwarted – as hawkers are cleared from the roadside, only to reappear, again and again. Furthermore, a significant section of the community, many of them poor and marginalised already, will not be able to earn a living. Engagement and negotiation with actors in the informal sector and provision of secure sites can yield economic benefits, and is more likely to happen if professionals and informal workers organise to gain understanding of how informality operates and to get the voice of informal traders heard. Such integrated thinking and inclusionary processes are cornerstones of participatory planning processes as advocated for the IG-UTP.

Warwick Junction is a busy transport hub in Durban, South Africa. It has long been a site for a number of distinct informal markets. As the informal sector became increasingly important in post-apartheid South Africa, the city council adopted an area-based management approach and formed special teams to improve services and facilities in Warwick Junction. Actions included cleaning and rubbish removal, the provision of toilets, child care facilities, and the formalisation of informal drinking outlets in the market. However, many support services were not adequately resourced and there were tensions between traders and the police.

*The breakthrough came in 2008 through the actions of a CSO, Asiye eTafuleni (AeT), which was formed by professionals who had been working in the area. AeT aims to support inclusive urban planning and design and the rights of informal workers, through “voice, visibility and validity”. Its underpinning idea is that “practitioners” can lead the change to make cities inclusive. Through design interventions and liaison with the authorities, AeT was able to make the informal markets safer and more secure, and to brand them as a tourist attraction, resulting in increased incomes for the traders. It also trained people to work as guides for the tourists. Learning and dissemination have been central to AeT’s advocacy. A programme was developed for schools, as well as workshops for architects on *Designing with Informal Workers*.*

Summarised from Conley, 2015

ECONOMIC AND TECHNOLOGICAL CHANGE

Decision-makers everywhere need to understand the structure and dynamics of their local economy. This is a central message of UTP. The pace of economic and technological change

means that plans made in 2000 are unlikely to have taken account of the arrival of platform-based businesses such as Uber or AirBnB that are impacting on transport, housing and tourism, and are largely unregulated. For example, AirBnB is resulting in the loss of affordable rented housing in historic districts of tourist towns,

as investors buy up properties to operate like hotels. E-shopping is changing the nature and space demands of retailing, leading to closures of shops on traditional high streets and even of shopping malls, while also generating an escalation in vehicle-based delivery trips with all the implications that has for air pollution and use of fossil fuels. Driverless cars are on the horizon – how will they affect patterns of mobility and residential preferences? Might more people want to live in more spacious surroundings outside of a city and work in their car on the way into the office? Open data is already here, but its implications for improving the evidence base of UTP have still to be grasped.

These and other Smart City technologies pose new challenges – and opportunities – for planning and regulation of development. They seem to be shifting the management of cities and human settlements away from democratically accountable bodies and towards large, global companies with their software and almost infinite access to data. Can they be made to deliver prosperity for all? The NUA (para.66) commits to adopting

“

a smart city approach, which makes use of opportunities from digitalization, clean energy and technologies, as well as innovative transport technologies, thus providing options for inhabitants to make more environmentally friendly choices and boost sustainable economic growth and enabling cities to improve their service delivery.

”

The potential is there: for example, LED street lighting can save energy and costs and address one of the major causes of road accidents in poor neighbourhoods. In Delhi, India, where 45% of households are unsewered, a wastewater management information system is improving sanitation. <http://www.aecom.com/projects/delhi-sewerage-system-master-plan/?s=delhi%20water&q=1&t=12>. UTP is not static, and needs quickly to find ways of making these new technologies work to deliver on its goals. In the short term, professional associations should raise awareness and understanding amongst their members, as the RTPI (2014) sought to do with its open access publication “Creating Economically Successful Places” <http://www.rtpi.org.uk/knowledge/research/planning-horizons/creating-economically-successful-places/>.



National governments

Is there a territorial development policy that encompasses rural areas – or just an agriculture policy and ministry? Do National Urban Policies address the urban-rural continuum? Is there new thinking around urban-rural relations? Are you looking at the opportunities and risks created by Smart City technologies?

Regional and local governments

Are you working across administrative boundaries to capture the opportunities of urban-rural relations? Do plans use a grid to steer infrastructure and long-term development in a flexible manner? Are plans informed by dialogues with business and CSOs to promote clusters? Do plans provide for cheap and accessible premises for start-ups? Are the needs of informal business understood and accommodated in plans and policies?

CSOs and their associations

Are you using a “voice, visibility, validity” approach? Are you networking to develop critical mass and to strengthen supply chains and access to markets? Are you working on building trust with regional and local government officials, e.g. by providing them with information about local business needs and practices? What are you doing to promote female entrepreneurship?

Professional planners and their associations

Can experience in transport planning or economic development count towards your practical experience requirements for membership? Do accreditation requirements include awareness of inclusive economic development? Is there support through life-long learning events and publications for members to increase their understanding of what makes economically successful places?

5

How to use UTP to deliver an equitable distribution of opportunities and inclusive places

“

...ensure that urban and territorial planning contributes to redressing social inequalities and promoting cultural diversity”

IG-UTP, pg.15

Today's cities are marked by deep inequalities, between social groups and between different parts of the city. While human rights apply to all people, everywhere, the reality is that who you are and where you live can significantly constrain the rights a person enjoys. To disregard these differences is to reproduce them; barriers that are not confronted are reinforced. Therefore, UTP cannot be neutral, not least because it seeks to achieve outcomes that are intrinsically distributional – to intervene to alter who gets what, and where services and opportunities are to be spread or concentrated.

Plans need to be understood as means to create and distribute assets, and as opportunities to deliver on human rights. To do this, tools such as gender impact assessment need to become part of mainstream planning practice. For example, if it is known that women have less access to cars and make more use of public transport than men, then policies favouring car use or public transport use will have gender-based impacts that decision-makers should be made aware of. Plans need to recognise the diversity of the population; plans that ignore differences based on class, gender, ethnicity or disability, far from “treating everyone equally” are likely to be reproducing disadvantage.

Equity and justice must be fundamental principles for an ethical form of planning, and its desired

outcomes. Where it is not attuned to the needs and rights of marginalised and disadvantaged groups – the poor, the disabled, the refugees and other vulnerable minorities - the practice of planning is being used in a way that is partial to the comfortable and the powerful. Put positively and as a short-hand, UTP needs to be pro-poor and actively seeking to advance social inclusion and cohesion.

This stance will be controversial to some, but it is consistent with the priorities set out in the SDGs: it does not mean that the needs of other groups are to be overlooked, but rather, to echo the phraseology of the NUA, it means that UTP has to be

“

based on the principles of equality, non-discrimination, accountability, respect for human rights, and solidarity, especially with those who are the poorest and most vulnerable”

(para.126).

These principles need to infuse all aspects of UTP. This short chapter is necessarily selective, and focuses on security, health, housing, and freedom from discrimination. The way we plan cities and human settlements significantly impacts on these universal rights.

SAFETY AND SECURITY

The IG-UTP (pg.16) urges local authorities to

“

improve urban safety, particularly for women, youth, the elderly, the disabled and any vulnerable groups, as a factor of security, justice and social cohesion. ”

Street crime, for example, affects safety and security in cities especially for women and youth. Urban design and land use planning can help reduce the risks, by ensuring that there are good sightlines and that streets are overlooked by buildings with people in them, rather than by dead frontages. Good street lighting is important. Users of streets, spaces and public transport are likely to have a good awareness of the location and nature of risks, so crime prevention initiatives are likely to be most effective if co-produced and delivered, e.g. by residents creating “fear of crime” maps.

Every year 1.25 million people are killed on the roads, 90% of the fatalities occur in low- or middle-income countries, which in turn account for only 54% of vehicles. Such accidents are the main cause of death amongst people aged 15-29. Since traffic accidents are calculated to cost most countries an astonishing 3% of their annual GDP (World Health Organisation, 2017a <http://www.who.int/features/factfiles/roadsafety/en/>) using planning and design, education and

Box 14 Women’s safety audits: Jagori, India

An Indian CSO, Jagori, has used safety audits as a key means of collecting information and formulating solutions. For example, it worked with Parichiti, an organisation which particularly works with poor and marginalised women and girls, to conduct **safety audits at three stations in Kolkata**. The focus of this work was particularly on women domestic workers who commute into Kolkata on trains each day. Though their labour is vital to the metropolis they are stigmatised. The safety audits revealed not only harassment on the trains, but a catalogue of risks in and around the stations. For example, they highlighted the lack of access to drinking water, toilets and waiting areas, along with poorly lit spaces and passages, so that people prefer to cross the tracks rather than use the bridges over the tracks. In addition, the stations were very difficult for people with disabilities: for example, there were no ramps or escalators.

Hague, 2013

enforcement to reduce this incidence can also make places socially and economically better off. While traffic matters are often seen as purely a technical, engineering concern, issues of power and equity are also involved.

Only 5% of pedestrians are fatally injured if they are hit by a car travelling at 32 km/hour, but the figure rises to 45% at 48 km/hour and 85% at 64 km/hour (European Commission, Mobility and Transport, 2017 https://ec.europa.eu/transport/road_safety/specialist/knowledge/speed/speed_is_a_central_issue_in_road_safety/speed_and_the_injury_risk_for_different_speed_levels_en). National governments and some provinces can set speed limits, and much traditional urban planning has sought to increase speeds, e.g. by creating wide roads and keeping their edges clear of footpaths or hawkers and traders. However, the poorest and most vulnerable are more likely to benefit where planners and engineers use their skills to create friction so that road speeds can be reduced. The use of bollards and markings makes it possible to designate main routes which are pedestrian or cyclist friendly and where street vendors can operate safely. This not only will slow the traffic, but help sustain livelihoods: equipping such areas with basic facilities such as toilets can mean that they can be used by traders as places to stay overnight. Using street furniture and landscaping can also make a street seem narrower to drivers and so slow speeds, though costs and maintenance need to be considered.

Seattle, USA, made extensive use of traffic calming measures. At first the city council undertook the landscaping and its maintenance, but as more and more schemes were done costs mounted. Thus the city began to meet the installation costs but passed maintenance over to local residents. While this generally worked, variations in quality of maintenance developed.

Summarised from Ewing, 1999

The smaller the turning radius on a road is, the slower the traffic will be through an area. Attention given to designing and delivering footpaths, cycle lanes, good lighting and safe and regular crossing points can save lives, particularly those of women and children who are most dependent on non-car transport. Wet and flooded roads – or in cold climates ice patches - increase accident risk, so using cross-slope grades to promote surface drainage and installing storm water reticulation systems is important. This reinforces the point made in previous chapters about the need for plans to be linked to budgets. Similarly, while there are many situations where CSOs can be valuable partners in plans and projects, this can also create variations in levels of service delivery.



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The way human settlements are designed will determine the health and well-being of its people.

HEALTH

There is growing rediscovery of the ways in which urban environments influence health, an insight that underpinned the origins of planning systems in the early 20th century, but faded as communicable diseases became less of a threat in western countries. Promoting health and well-being is not just a matter for health ministries and the medical profession. The location of health facilities can influence who can access them: particularly in rural areas in the developing world the location of informal health services (e.g. nurses, midwives),

is highly important. Similarly, the way that cities are designed can make them “age friendly”, and better able to meet the needs of vulnerable older people.

Communicable disease remains a potent source of ill-health and mortality in developing countries. Poor sanitation associated with unplanned cities remains a major cause of communicable diseases. Planned site and service schemes and participatory slum upgrading can save lives. Scarce professional resources are best directed to areas that have major health problems, rather than on pursuing detailed regulation in low- and

middle-density areas of housing. Provision of services such as water, sanitation and electricity to informal operators (such as water vendors) makes compliance with hygiene standards easier and more likely. Rather than becoming embroiled in debate, counter-posing standards or no standards, formality or informality, work in the blurred area between the opposites can be more effective, e.g. by registering and working with informal providers. The aim should be to move towards regularisation as a step towards improving health. To achieve this, planners need to combine technical know-how with skills of communication and negotiation.

There are growing concerns about the ways in which climate change impacts on health, with heat island effects just one example. They occur when cities replace natural land cover with dense concentrations of pavement, buildings, and other surfaces that absorb and retain heat. This effect increases heat-related illness and mortality, affecting the most vulnerable first and most, but also increasing energy costs (e.g. for air conditioning), and air pollution levels. Such soil sealing needs to be addressed at both urban and territorial levels, by greening and planting within cities (e.g. on roofs and to shade buildings) and through managing urban spread.

The world is witnessing a disturbing growth in “new” health threats from the increase in non-communicable diseases (NCDs), which include

cancers, cardiovascular diseases, diabetes and chronic respiratory diseases. Of 56.4 million global deaths in 2015, 39.5 million, or 70%, were due to NCDs. The burden of these diseases is rising disproportionately among lower income countries and populations (World Health Organisation, 2107b http://www.who.int/gho/ncd/mortality_morbidity/en/). UTP can contribute to combatting this growing epidemic in a number of ways. Reductions in air pollution can be achieved if reliance on car-based transport for travel to work can be reduced by better public transport and safe provision for cyclists and pedestrians. Usable open space can deliver health benefits and is likely to be effective and valued if the community is involved in its design. Well-planned pocket parks accessible to homes can particularly benefit young children and people with mobility difficulties.

Implementation of plans to improve health is more likely if there is an active alliance between those working in UTP and public health professionals. Positive health outcomes should be a target for both professions. Similarly, health is an issue that can attract the attention of politicians, Professional associations of planners, nationally and internationally, need to be making the case that planning healthy urban environments can make a real contribution to preventing illness and premature deaths.

AFFORDABLE HOUSING AND LAND

The NUA (Para.13) aims for

“
progressively achieving the full realization of the Right to Adequate Housing as a component of the Right to an Adequate Standard of Living.”

This theme was developed in Chapter 2 of this book. The NUA (Para.14a) further says that there should be equal access for all to

“
affordable and adequate housing.”

There is a commitment to

“
prevent arbitrary forced evictions”

and to (Para.31)

“
focus on the needs of the homeless, persons in vulnerable situations, low-income groups and persons with disabilities, while enabling the participation and engagement of communities and relevant stakeholders in the planning and implementation of these policies.”

The IG-UTP (pg. 15) urges national governments to

“
Contribute to the establishment of progressive housing finance systems to make land, serviced plots and housing affordable for all;”

and local authorities to consider (pg. 16)

“
variations in land and housing prices in different locations and the need to promote affordable housing solutions.”

How can these things be made real?

Chapter 4 explained how in planned cities the poor are unlikely to be able to access adequate housing. Meanwhile there has been a growing crisis over housing affordability in major cities across the world: this has coincided with the weakening of planning systems in respect to land acquisition, assembly, preparation and development. The public acquisition of land development rights as part of planning for urban expansion was emphasised in Chapter 4. This is viable when governance regimes are sufficiently efficient and free of corruption, when the public purse has adequate capacity to act at a reasonable scale, and where planning skills to create affordable and bankable projects are available. Where these preconditions are met, or significant steps are being made in the right direction, this option becomes viable.

Under all circumstances however, planned infrastructure as a means of flexibly accommodating new development, much of which will be both formal and informal housing, is the most robust approach.

Similarly, the practice and benefits of participatory slum upgrading has been discussed in Chapter 2, in relation to UN-Habitat's PSUP which has been running since 2008 with the involvement of many countries. Key messages from the practical experience in the programme are:

- Mind-set matters: slum dwellers have rights, skills and knowledge;
- Strengthening dialogue amongst actors is a prerequisite to actual implementation of programmes;
- There is no "one size fits all" approach: take account of country and local factors;
- Commitment to the process from regional, national and local actors is essential before the initiation of a programme in a country;
- Once people have experience of participatory planning and see its impact, they happily replicate it in other projects and planning processes.

Countries where large-scale urbanisation is a recent problem face particular challenges in planning for affordable housing. Typically such places have few built environment professionals and need simple and rapid

methods to begin to tackle the issues. Urban profiling is one possible approach. In the first phase information and opinions are collected from stakeholders at national and city levels. Through a SWOT analysis there is an attempt to agree on priorities for action. These are then worked up in the second phase, which also involves capacity building. The third phase is implementation with an emphasis on skills development, institutional strengthening and replication. As the box illustrates, this approach has been used successfully in the Solomon Islands, where the existing urban population is barely over 100,000, but urban growth rates are running at 4.7% a year.

The Solomon Islands have not had urban policies or city development strategies. There is a lack of skilled human resources and poor management and weak governance at all levels of government in most towns. This combination produces growth of informal settlements, which provide homes for middle-income households as well as the poor, and failing infrastructure.

By using urban profiling methods, Solomon Islands was able to highlight the issues posed by urbanisation – e.g. the encroachment of informal housing on customary land, a trend that had already led to ethnic tensions. Urban water sources are also located on customary land and are at risk of being closed by landowners if rents are not paid in a timely manner. Most informal households access water from streams, rivers and directly from boreholes and storage dams.

The profiling work revealed the need for effective urban planning and management as a critical development policy issue. Town and country planning legislation exists as a regulatory instrument, but in practice developers are given permission to develop without reference to the planning legislation. Basic things like a national housing policy, a framework to guide subdivision, and a plan for land and infrastructure in informal settlements are needed.

Summarised from Hou, 2012

Planning systems need to be able to deliver affordable housing. Where planning is an enabler for market provision of formal housing, this usually means requiring developers to provide a proportion of “affordable houses” as a condition of any permission. However, definitions of “affordable” have become very elastic, and subject to developers’ interpretation of their impact on the commercial viability of the scheme. In these situations, at the very least, public-sector planners need the knowledge and skills to be able to challenge developers’ assessments. Policy makers need to consider whether such systems really deliver the Right to Adequate Housing.

In big cities, gentrification has become a problem, displacing low-income residents and small businesses as areas move “up market”. Attempts to improve an area are often facilitated by planning interventions such as environmental improvements or use of powers to acquire land and property. In a city where housing markets are strong, regeneration is likely to result in social change, unless the rights of the residents are protected. Failing that, the “just green enough” strategy developed in Brooklyn (see adjacent quote) should be followed.

At Newtown Creek in Brooklyn, New York, local activists showed how planning for environmental rehabilitation needs to be connected to social justice and an inclusive city. The watercourse was highly polluted, but as researcher Winifred Curran explained:

“

Most ‘green’ projects happen when high-income people want to move into a neighbourhood; the clean-up then attracts more of the same. But in Brooklyn, we found that a grassroots alliance—which included elected officials, local residents, business owners and non-profit organizations—was working to achieve environmental remediation without gentrification. Its ‘just green enough’ effort was carefully planned so that long-term residents and responsible industry wouldn’t be displaced, so that the neighbourhood could be both ‘green’ and economically diverse. That’s a great model for urban sustainability. ”

Curran, 2016

PLANNING FOR DIVERSITY AND EQUITY

National governments should provide leadership for the practice of UTP based on the principles of equity, non-discrimination and solidarity set out in the NUA. This can be done through legislation and policy guidance, and by showcasing good practices. Similarly, regional and local governments should themselves have policies for diversity and should ensure that their UTP work complies. Plans and policies and proposed developments need to be assessed for their impacts on different groups, with particular sensitivity to the needs of the poor and the vulnerable, whose voices have often been unheard in the past. Not all marginalised and vulnerable groups are poor, but many are. Children are often overlooked in planning, yet they more than most will have to live with the outcomes of plans. Therefore initiatives such as the work of the Innovation Circle Network and of PAS, described in boxes in Chapter 3 are important, but not the only, examples of what can be done. Designing environments that help children learn, play and develop are likely to benefit others too.

A number of planning professional associations require that professional planners do not act in discriminatory ways. For example, the Code of Conduct of the South African Planning Institute expressly requires adherence to the values of the South African Bill of Rights and requires that the profession “shall not discriminate in any way”. The box provides an extract from that Code of Conduct.

SOUTH AFRICAN PLANNING INSTITUTE: CODE OF CONDUCT

FOUNDING PRINCIPLES

- 3.1 A planner’s primary obligation is to serve the public interest. It includes the interests of the present generation and those yet to come.
- 3.2 Planners shall endeavour to deepen the values espoused in the South African Bill of Rights at all times, including specifically –
 - (a) Its democratic spirit, ensuring freedom of speech, association, demonstration and movement;
 - (b) Its humanistic spirit, promoting respect for personal human dignity, freedom, citizenship, equality, privacy and basic needs;
 - (c) Its environmental spirit; by pressing for clean, healthy, dignified and safe living environments; and the protection of the natural environment.
- 3.2.1 Planners shall not discriminate in any way.
- 3.2.2 Planners shall at all times be conscious of the ethical dimension of the recommendations and representations offered to clients, communities and decision-makers.

PLANNING FOR MIGRANTS AND DISPLACED PERSONS

UTP cannot deal with diversity and equity without addressing an increasingly significant global megatrend – the growing incidence of people migrating or being displaced due to war, or natural or man-made disasters. In providing leadership around the principles of diversity and equity, national governments need to implement

“*poverty reduction strategies, support job creation, promote decent work for all and address the specific needs of vulnerable groups, including migrants and displaced people*”

IG-UTP pg. 15

This issue has been touched upon in Chapter 2 where the “Pinheiro Principles” (UN Economic and Social Council, 2005, <https://unispal.un.org/DPA/DPR/unispal.nsf/9fb163c870bb1d6785256cef0073c89f/577d69b243fd3c0485257075006698e6?OpenDocument>; FAO, UN-Habitat et.al., 2007 <http://www.fao.org/docrep/010/ai131e/ai131e00.htm>) on housing and property restitution for refugees and other displaced persons were mentioned in the context of human rights. There is however an important dimension which goes beyond the question of human rights and which must feed directly into any discussion of equity and inclusion. It concerns

how and where refugees and displaced persons are to be accommodated. Policy guidance and enabling legislation will be essential to provide the principled framework within which this issue can be tackled.

The IG-UTP pg. 15 goes on to call on local authorities to

“*promote social and spatial integration and inclusion, particularly through improved access to all parts of the city and territory as every inhabitant (including migrant workers and displaced people) should have the ability to enjoy the city, its socioeconomic opportunities, urban services and public spaces and to contribute to its social and cultural life.*”

As is the case when dealing with diversity in general, migrants and displaced people need to be given an equal voice in the planning process. They often make substantial contributions to the economic and social life of the receiving communities and UTP needs to ensure their inclusion in the planning process. A further consideration is to ensure that in post-conflict or post-disaster situations, displaced people who may still be living away from their place of normal residence are given a voice in planning for the reconstruction of their communities.

6

How to use UTP to manage the natural and built environment

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Urban and territorial planning contributes to increased human security by strengthening environmental and socioeconomic resilience, enhancing mitigation of, and adaptation to, climate change and improving the management of natural and environmental hazards and risks. ”

IG-UTP, 2015, pg. 21

Through the SDGs and the NUA, governments have committed to make cities and human settlements resilient and sustainable. These ambitions face some severe obstacles. The current patterns of urban development are a threat to the earth's carrying capacity, and the problems are most acute in places where institutional capacity for environmental protection is weak and infrastructure is already unable to cope (UN-Habitat, 2012a, pgs. iv-v). The pace and scale of urbanisation means that land, often land of the best agricultural quality, is being sacrificed, and habitats are being lost. Cities become ever more dependent on areas beyond their limits for their water, food and waste disposal. Climate change and the need to reduce carbon emissions further complicate the picture, as do the perils posed by air pollution. Issues of equity raised in previous chapters also apply – the urban areas displace their environmental problems to the areas from which they are abstracting natural resources.

Quite simply, there has to be a change. Decision-makers at all levels can no longer disregard the extent to which urban development has

adverse effects on the natural environment – or the importance of a clean and healthy natural environment for urban living and the well-being of citizens, and especially of the urban poor. Cities account for around 70% of all carbon emissions (UN, 2011, pg. 15). Cities represent both the biggest environmental challenge, but also the biggest opportunity: change the way cities are operating and you change the world; carry on with business as usual, and expect environmental catastrophes. This chapter, like the others, is necessarily selective not comprehensive. It focuses on urgent and difficult challenges in the delivery of socially, economically and environmentally resilient and sustainable cities and human settlements. These are: disaster risk mitigation (including climate change), carbon reduction, food security, and solid waste management. It finishes with some general comments on resilience as a concept and practice.

CLIMATE CHANGE AND DISASTERS

As more people have come to live in more hazardous locations, the numbers affected by disasters have increased sharply (Brecht et.al., 2013, 2). Such disasters impact most severely on the poorest countries and the poorest people. In line with guidance from the UN Office for Disaster Risk Reduction (UNISDR) <https://www.unisdr.org/who-we-are/international-strategy-for-disaster-reduction>, national governments should, amongst other things: develop a comprehensive and integrated national strategy of hazard, risk and disaster prevention, projected over 5-, 10- and 20-year time periods; conduct dynamic risk analysis with specific consideration of demographics, urban growth, and the interaction or compound relationships between natural, technological and environmental factors; and build, or where existing, strengthen regional/sub-regional, national and international approaches, and collaborative organisational arrangements that can increase hazard, risk and disaster prevention capabilities and activities. In carrying out these activities there is potential to achieve synergies with UTP systems and practices, e.g. by addressing disaster risk in national urban policies and making disaster risk assessment a requirement in plans at regional and local level.

Good planning with active involvement of the people at risk can substantially mitigate risks, helping to conserve prosperity and create more inclusive, resilient and sustainable cities and human settlements. Where professional capacity

is scarce, one way to proceed is through participatory capacity and vulnerability analysis (PCVA), which might be led by a local authority or by an NGO. The essence of the method is to undertake risk assessment by combining scientific data with local knowledge and capacity building. This is done by working with local people so that in the end they have their own action plan. There are many manuals, some in local languages (see Ahmed, Fuenfgeld and McEvoy, 2012 for a list https://unfccc.int/files/adaptation/cancun_adaptation_framework/adaptation_committee/application/pdf/pcva_toolkit_oxfam_australia.pdf). The diversity of a local population needs to be considered, e.g. disabled people may be particularly vulnerable. Conventional planning to counter climate change tends to overlook the capacity of women, children, the elderly, or the poor although they may have potential to contribute valuable local knowledge to climate change adaptation and disaster risk reduction actions.

An effective UTP system will not only mitigate disasters, but also assist the post-disaster recovery process. In countries where there is the institutional capacity to enforce planning regulation, it should be used to avert future disasters, e.g. in avoiding building on areas with high flood risk or vulnerability to storm surges. In other countries, the planned provision of land for informal housing that is in accessible locations will make it easier to enforce restrictions on development in places most at risk from disasters such as floods or landslides.

Port-au-Prince, Haiti's largest city, has experienced fast and uncontrolled urban growth. Poorly serviced and unmapped informal settlements make up 80% of the urban fabric. An earthquake in 2010 therefore had devastating effects, causing an estimated 230,000 deaths. Lacking effective planning legislation and practice to guide recovery, there was no basis to make best use of post-disaster international assistance. This led to recognition that planning was necessary to build the resilience of the city and of populations at risk and to set a framework for the coordination of the post-disaster efforts of NGOs. The need for information on the informal settlements was also acknowledged, an essential first step towards their integration into the formal city. Lessons have been learned, and public institutions now control and validate urban development projects carried out by NGOs, and all neighbourhood-wide projects financed by donors have been conditioned by the prior production of a development plan.

Summarised from Guignard, Doucet, and Rachmuhl, 2015

CLIMATE CHANGE MITIGATION

By addressing urban form and transport, and industrial pollution and domestic energy consumption, governments can contain or reduce GHG emissions. The city-region scale is a critical one for UTP in this respect. Plans should aim to reduce the need for car-based commuting, through a range of measures including mixed uses, high-density activity hubs, and measures that encourage non-motorised means of transport – e.g. safe sidewalks for pedestrians, non-motorised public transport / transit systems and dedicated cycle routes. Such measures will improve the quality of

the air that people breathe, and thus reduce respiratory and other diseases (see Chapter 5). Compact urban forms and higher densities concentrate users of facilities and services, and make it more economical to operate public transport and avoid the need for travel by car, resulting in lowered emissions. An equitable allocation of road space through prior planning and/or reallocation of existing space will allow establishment of bus priority lanes (see the Lagos example in Chapter 4). Provided there is enforcement, such interventions can speed and make predictable journey times by bus, which along with walking and cycling is most likely to be the mode of transport used by the poor.

Governments should consider what kind of planning legislation and policies are needed to impact on GHGs, and local and regional authorities need to use UTP to set ambitious targets and implement these through enforceable standards, while also looking for opportunities to promote green business development and a circular economy. There is a case for experiments in designating zero-carbon districts. Simple principles of passive design should be embedded in policies and design guides, e.g. in colder climates requiring windows to face the equator so as to benefit from solar gain. In hot climates

orientation of streets and buildings in relation to prevalent winds can provide cooling draughts, and trees can give shade, reducing the need to rely on air conditioning systems. Similarly, UTP policies aimed at protecting and increasing forest cover and tree planting can help with carbon sequestration. Integration is a key theme in UTP, and disparate green initiatives are likely to be more successful and benefit from synergies if they are integrated into a coherent territorial plan. The example of Portland, Oregon, shows such an endeavour.

Box 16 UTP and climate action: Portland, Oregon

Back In 1993, Portland, Oregon was the first US local government to institute policy around anticipated global warming. Multnomah County – of which the city is a part – joined this initiative in 2001, making it sub-regional in scale. The Climate Action Plan recognised that climate change, deepening social inequities, degraded environmental systems and rising energy prices are related challenges. By reducing and redirecting existing resource flows (energy, waste and food) through the city and county, they hope to increase both the resilience and adaptability of the region to climate change as well as radically reduce carbon emissions. The plan's initiative is the result of collaborations amongst county and city governance structures, members of the public, businesses, academic institutions and non-profit organizations. It aims to achieve its ambitious emission reduction goal through eight core areas of action: buildings and energy; urban form and mobility; consumption and solid waste; urban forestry and natural systems; food and agriculture; community engagement; climate change preparation; and local government operations. The plan is a holistic one that integrates economic, environmental and social imperatives; it is also iterative in that there are built-in opportunities to review, revise and change the focus.

UN-Habitat, 2012b, pgs. 52-55

FOOD SECURITY AND NUTRITION

Food has always influenced the development and structure of cities: roads connect the fields where food is produced to the various markets where it is sold for consumption. Planning systems that developed in the 1940s in countries that had experienced food shortages have sought to protect agricultural land from urban development. In contrast, in land-rich countries, the planning systems have been more permissive of such land conversion.

The global and human rights foundations of UTP, as expressed in the manifesto in Chapter 1, redefine the relation of planning to issues of food. During the 20th century 70 to 80 million people died as a result of major famines. Some 795 million people still suffer from chronic undernourishment, including 780m in developing countries. The World Bank says the world needs to produce 50% more food to feed 9 billion people by 2050, but climate change could cut crop yields by over 25% (Financial Times, 2017. <https://www.ft.com/content/9d2b0b36-f784-11e6-9516-2d969e0d3b65>). With agricultural land still being lost to urban development and other non-food producing uses such as biofuels, growing attention is being given to the part that UTP can play in implementing the human right to food. There are also concerns about the role of food and diets in the surge in NCDs (see Chapter 5), and about the emergence of “food deserts”, which are typically low-income urban

neighbourhoods where it is difficult to buy good fresh produce.

Food security is highlighted in SDG 2. The NUA points to the need to use urban spatial frameworks, urban planning and design to strengthen food system planning and urban resilience (para.51). Improving food security and nutrition is one of many benefits that it attaches to (para.67)

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well-distributed networks of open, multi-purpose, safe, inclusive, accessible, green, and quality public spaces.”

The IG-UTP also puts food security on the agenda (pg. 21). The Commonwealth Association of Planners (2014) https://docs.wixstatic.com/ugd/25734f_21b9ce94510648799519e55158da0455.pdf has also produced useful guidance, while UN-Habitat (2017) <https://unhabitat.org/books/implementing-the-new-urban-agenda-by-strengthening-urban-rural-linkages/> emphasises the importance of food in urban-rural relations.

In 2015 cities from around the world signed up to the Milan Urban Food Policy Pact <http://www.milanurbanfoodpolicyact.org/wp-content/uploads/2016/06/Milan-Urban-Food-Policy-Pact-EN.pdf>.

This notes that urbanisation is having profound impacts and necessitates

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re-examination of the ways in which cities are provisioned with food and water. ”

It calls for an integrated approach to urban food policies, connecting the economic, social and environmental aspects locally, while also linking the local to the regional and national and international scales. In particular it notes the scope for urban and peri-urban agriculture

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to protect and integrate biodiversity into city region landscapes and food systems, thereby contributing to synergies across food and nutrition security, ecosystem services and human well-being. ”

National policy should set the framework for the protection of land for agriculture. Many cities have developed over time in areas of high value agricultural land production and good soil quality. Often such land will be in peri-urban locations, and under pressure from urban expansion. It should not just be left to the market to decide whether this land should be consumed by urban expansion, especially low-density development, as there are strategic issues at stake. Where

it is feasible to enforce compact city policies and densification of low-density areas, these measures should be applied to contain the loss of farmland, especially as other benefits in increasing urban sustainability also accrue. In rapidly urbanising countries where the capacity to plan and enforce regulation may make such approaches infeasible, peri-urban agriculture, even if only on a temporary basis, is likely to be a viable use amongst new urban residents. Insofar as this is a labour-intensive sector, agriculture can provide employment to groups who find it hard to access conventional jobs – e.g. teenagers, the elderly and in some cases women.

Therefore UTP practices should regard urban agriculture as a potential resource for creating urban prosperity and employment in situations where significant value added can be achieved and alternative urban uses are comparatively unproductive. This will often involve schemes for stimulating urban agricultural productivity. This can entail not only making space for such activity, but also recognising and legalising urban agriculture, and co-operation to overcome some of the potential hazards of urban agriculture such as poor composting or soil exhaustion. Urban agriculture can also assist in the management of organic waste which can be used as a form of nutrient. By nurturing and sustaining local food networks, planners can boost local incomes and reduce the “food miles” travelled between producer and consumer, thereby contributing to reducing carbon emissions.

Box 17 Urban agriculture and social inclusion: Chicago, USA

Englewood is a poor neighbourhood in South Chicago, with high unemployment, gang and drug problems. The city council leased a plot of land for 99 years for \$1 to Growing Home, a social enterprise. Growing Home trains homeless and previously incarcerated people in the skills of organic and sustainable agriculture, and the lease stipulates that the land should be used as a community garden. Produce from the urban farm is then sold across Chicago on a subscription basis, and locally at a farmers' market.

Hague, Hague and Breitbach, 2011, pg. 218

Fish stocks also need to be conserved. Fish are an important source of nutrients, and fishing is an important part of subsistence and incomes for many poor people. Too often fisheries have been badly managed, and, as with agriculture, there are now concerns about the impact that climate change might have. In some cases, therefore, a UTP policy seeking to conserve natural resources will need to address maritime or large lake issues. The interface between marine and land environments means that developments on land

can have impacts in the waters: a conservation approach is needed.

Food can be a particular focus of territorial initiatives to strengthen urban-rural relations. For example, links can be fostered to support local food processing and to facilitate the distribution of local produce to hotels and restaurants in the city. Distinctive local foods can also be the basis for boosting tourism, e.g. through staging food festivals.

In summary those involved in UTP, whether at national, regional or local scale, should seek to understand the relevant food production and distribution systems; this is likely to involve some dialogue with those directly involved in farming or fishing. The local context, and the policy instruments available, should shape the specific interventions that are then to be pursued. However, the more general imperatives remain: these are to take food security seriously as a planning issue, and to recognise its close connections to other desired outcomes such as health, poverty alleviation, good livelihoods, resilience and resource conservation.

SOLID WASTE

Cities are major hubs of waste generation. In a world that is struggling to cope with waste, the way that urban areas are planned and developed has a significant impact on ecosystems, regionally and globally, in the short, medium and long term. Therefore, UTP needs to seek new solutions. One problem we have is that

the long lasting nature of urban development locks existing urban areas into unsustainable generation and disposal of waste. Conversely, the surge of urban growth that the world is currently experiencing gives opportunities for new and better solutions.

Solid waste is an issue in many urban areas, and can provoke antagonism with surrounding rural areas used for landfill sites. Instead urban areas need to develop circular approaches so that they take care of their own waste by reducing and recycling it. The IG-UTP (pg. 22) says that local authorities should

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Integrate solid and liquid waste management and recycling into spatial planning, including the location of landfills and recycling sites. ”

The guidelines (pg. 26) also point to compact cities and integrated territories as contributing to solutions to waste management issues. Again, there is a need for action at all levels and by all stakeholders. National governments can provide leadership and promote good practices; regional and local governments need to promote recycling and find suitable sites; civil society organisations can organise local clear-ups.

Surabaya is Indonesia's second largest city, with a population of over 3 million. Successive land use plans have oscillated, either trying to promote a 'modern' city vision or reverting to unplanned urbanisation, where mangroves face extinction, city rivers remain heavily polluted and huddled indigenous kampongs (the neighbourhoods of the poor) remain disadvantaged. As in many rapidly urbanising cities, new arrivals from the countryside are unfamiliar with the need to reduce and manage solid waste disposal.

In 2005 a Green Kampong programme was embedded in the city's planning and development strategy. It has delivered a community based solid waste management system, leading to revenue generation, employment and a decrease of disease among more than 100,000 participating households. The programme has become a citywide strategy, combining tools for governance and development such as decentralising planning decisions, encouraging local democracy, participatory planning and budgeting, and environmental management.

Summarised from Ernawi, 2012

Uncontrolled dumping is particularly problematic in informal areas where narrow alleyways make it difficult for traditional waste collection operations such as by large vehicles. This has deleterious health and environmental impacts. Attempts to improve solid waste management also need to take account of informal waste collectors and recyclers, who are likely to resist what they perceive to be as threats to their livelihoods. In such situations negotiation and the participation of CSOs to collect the waste is essential for successful implementation. As the example from Curitiba shows, the aim should be to connect the idea of a circular economy with social inclusion and economic opportunity: these constitute essential reference points for UTP in this generation.

RESILIENCE

The concept of resilience is increasingly used, and implicitly it underpins much of the argument in this book. The IG-UTP mentions of building “human security and resilience” through participatory planning (pg. 3), “environmental and socio-economic resilience” through planning for climate change adaptation and mitigation and improving the management of natural and environmental hazards (pg. 20), and thereby increasing the “resilience of human settlements” (p.21), and then “disaster resilience” (pg. 26). Resilience has come to the fore as awareness of the damage caused by disasters has increased; while originally the focus was on natural disasters such as flooding, after the economic

Box 18 Building a circular economy: Curitiba, Brazil

In Curitiba, Brazil, poor people have been given incentives to collect waste and to recycle; items such as bus tickets and local food are offered in exchange for bags of waste brought to central depots.

This allows for waste collection services to be extended to informal areas without requiring expensive and polluting waste collection vehicles, and promotes the use of public transport and healthy eating. Instead of seeing underused buses and excess agricultural produce as problems, the city identified them as opportunities to deliver value to the poor at minimal cost to local government, while building social inclusiveness and facilitating a more circular economy for the whole city.

UN-Habitat, 2012b, 48-52



Urban and territorial planning can contribute to increased resilience and enhance adaptation and mitigation in the face of climate change.

crash of 2007, the idea of economic resilience gained traction. Thus the State of South African Cities report for 2010/11 (South African Cities Network, 2011) comments that long-term resilience requires innovation, creativity and long-term commitment from investors. It also interpreted resilience in respect of the built environment as being able to adapt to change while also conserving valued aspects of the legacy from the past.

Increasingly, resilience is understood not just as the ability to bounce back after external shocks, but also to learn and to “bounce forward”. In other words, resilience is not about going back to some previous settled state, but rather about process and dynamics, with an emphasis on collective learning and therefore on working with

CSOs and local groups. One problem, however, is that building resilience is not cost-free, and if the disaster has not happened yet, then returns on investment may not be visible, and politicians faced with competing resources will direct scarce funds elsewhere. Again this shows the need for UTP to be able to combine scientific data with local knowledge and to be hardwired into the budget process. It also points to the scope for working on financial mechanisms so that the costs of adaptation measures, for example, can be covered by loans. What a national urban policy and territorial and urban plans need to do is provide certainty to all residents that issues of resilience, economic, social and environmental are going to be addressed in a transparent and consistent manner.



National governments

Are you producing national statements on food policy and connecting them to national urban policies? Are you encouraging local authority initiatives to promote urban and peri-urban agriculture? Have you taken steps to “climateproof” sector policies and provide guidance on how to do PCVA? What steps have been taken to make GHG reduction a material consideration in applications for permission to develop? Are you identifying and promoting opportunities for building a green economy?

Regional and local governments

Is food security a concern in plans, e.g. by provision for urban agriculture and local markets? Are you using plans to build new urban-rural linkages? Are you giving due consideration to protecting the best quality agricultural land from urban development? Have you taken steps to plan for climate change adaptation and mitigation, and ensure that disaster risk reduction is part of your plans? Are you working at city region level to plan public transport and restrict car-dependent low density sprawl? To what degree are you working with CSOs and informal businesses to build and implement waste management in informal areas?

CSOs and their associations

Are you developing and promoting initiatives, such as toolkits, to create, advocate for and implement actions plans for disaster risk reduction? What steps are being taken to advocate for land to be available to support local food production and livelihoods? Are you negotiating with local governments to undertake local waste collection systems to improve living conditions? Are you sharing good practices?

Professional planners and their associations

Are you rethinking the knowledge and skills required of members and how to support the acquisition of knowledge on relatively new topics like food security, carbon reduction and climate change mitigation and adaptation, or how to build resilience in the face of natural disasters? Are you working locally and internationally to advance the profile and understanding of these issues amongst members and policy makers?

7

Making the change: humanity has never lived like this before

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The International Guidelines on Urban and Territorial Planning (the Guidelines) are intended to be a framework for improving global policies, plans, designs and implementation processes, which will lead to more compact, socially inclusive, better integrated and connected cities and territories that foster sustainable urban development and are resilient to climate change. ”

IG-UTP, pg. 1



The International Guidelines on Urban and Territorial Planning are the first universal reference framework for planning, acknowledged in the New Urban Agenda as a means for its effective implementation.

Although not all the goals and targets were achieved, the Millennium Development Goals (MDGs) successfully harnessed international energy behind a focused and inspiring agenda that was linked to practical actions. The NUA (para.3) notes that since the MDGs were adopted in 2000 “we have seen improvements in the quality of life of millions of urban inhabitants, including slum and informal settlement dwellers”. The SDGs therefore are more wide-ranging and more ambitious, but time moves quickly and the 2030 horizon impels urgent action.

The adoption of Goal 11 and of the NUA reflect the ever-increasing significance of urbanisation in determining what life will be like on this planet for coming generations. The IG-UTP, though drafted ahead of the Habitat III gathering that endorsed the NUA, are a vital part of this international process. This book seeks to contribute by publicising the guidelines, interpreting them, and occasionally looking beyond them. Its fundamental message is that UTP is an essential tool for delivery of the NUA.

STRENGTHS IN THE PLANNING TRADITION

The strengths of the planning tradition are carried forwards into UTP. In particular, there is the recognition that people, the environment and the economy are interconnected. Similarly, planning has usually been a practice across, and connecting policy and implementation at, different scales – national, regional and

rural, urban and local. Many planning systems embrace the practice of public participation. Surveys have long been a starting point for plan-making, pointing to an enduring recognition of the need for an evidence base from which to develop policies and actions. A long-term focus is another valuable foundation stone of the planning profession. Planning practice operates at the interface between the public and the private sectors; it is part of the rule of law and an integral element of governance. It also recognises the significance of place and spatial differences: aggregate national data obscures what are often deep and even diverging conditions, for example between rural regions and cities, or gated suburban communities and informal settlements or sink estates within one city. Furthermore, planners know that each place is unique, and their best work nurtures and builds upon such differences, e.g. through conserving buildings and spaces that contribute to that identity. Perhaps most fundamental of all is the fact that planning has been dedicated to the public good, and an aspiration to build a better future for all.

Previous chapters have demonstrated the enduring relevance of these qualities to today's world. This book has reviewed the interfaces between UTP and economic development, health, food, social inclusion, public safety, carbon reduction, public transport and waste management. In every case there are synergies to be exploited, and spin-offs to be worked towards. The need for horizontal coordination

and cooperation has been echoed by the recurring emphasis also placed on vertical integration. Territory matters more than ever and UTP is fundamentally a practice in multi-level governance ranging from the trans-national scale to that of a local neighbourhood.

Direct engagement with CSOs and other social groups has been another recurring theme in this book. Often that means bringing together technical and scientific evidence with local knowledge or political priorities as a basis for agreeing on actions and sharing ownership of a plan. Climate change has made long-term thinking and policy making an imperative, and UTP is an obvious vehicle for practical, place-based action for mitigation and adaptation. Similarly, having people with planning skills and professional values working in both the public and the private sector provides for cross-fertilisation of ideas and mutual understanding. The need to avoid “one size fits all” solutions has been emphasised throughout the book; while examples have been used liberally to show that doing things differently is possible, and the IG-UTP are not just rhetoric. None of these showcased practices is to be transferred and copied without regard to the local context.

BUT CHANGE IS ALSO NEEDED

If there is so much continuity, why does planning need to change? The answers are hinted at in the previous paragraph and set out at greater length throughout the book. Above all, planning

needs to change because the world has changed. Humanity has never lived like this before. The scale of the change makes a difference when we contemplate the pressures on finite resources – a world of 9 billion people is a different planetary proposition from one of 6 billion or 3 billion, just as the city of 20 million is a different entity than the small market town. However, it is not just because we have mega-cities that planning needs to change, though such dynamic phenomena cannot be reduced to the kind of detailed land use plans for suburbs and subdivisions that were a staple part of planning practice in many countries. Nor is the transition to a world where most people live in cities rather than working the land the main force driving change, though again this is part of the story. As the book has argued at several points, and particularly in Chapter 6, rural regions are deeply interlinked into this new urban world. What has changed most is the complexity of the way in which lives are lived and places are shaped by human activity.

Important as the quantitative changes are, qualitative changes are very much a part of the new complexity. At the time of writing it is still not clear just what impact disruptive technologies and Smart Cities will have on how cities function and are managed. However, it seems sure to be a significant one. What we have learned in the years since the late 20th century is that in many ways linked to globalisation and the knowledge economy, urban areas have become increasingly attractive for many when compared to a life on

the land. Together with wars and the problems that climate change and over-fishing bring to primary producers, this has triggered national and international migration, that have not just made more people urban dwellers but made individual urban areas socially more fractured yet paradoxically economically more homogenous globally. Skylines once almost unique to Manhattan are now replicated in capitals and financial centres around the world, while informal housing and employment along with homelessness and rough sleeping can be found in the richest of cities. The demise of command economies and the liberalisation of post-1945 welfare states has further added to the complexity of urban and territorial systems, making their development more organic, as the role of planning has been redefined towards enabling rather than directing development.

There has also been a qualitative change in the recognition of the rights of women. Chapter 2 made two fundamental points on this: CEDAW, one of the core human rights treaties, was not adopted until 1981, long after most statutory planning systems were established; and the inequality of women remains one of the most pervasive human rights abuses. Insofar as mainstream planning practice in many countries remains gender-blind, it needs to change. Similarly, the voices of other disadvantaged and vulnerable groups and minorities need to be heard – refugees, migrants, youth, the disabled, LGBT people, ethnic minorities and the poor.

Planning systems and planners can no longer disregard internationally agreed human rights or the diversity of today's human settlements and territories. This makes planning a more complex task than it was when homogeneity was the default presumption in planning for the public good.

A further qualitative change has been the rise of post-colonial forms of development. Many planning systems in the developing world had their origins in colonial government. The divergence between the form, scale and governance of urban development in the “home countries” that the legislation was seeking to address in the early 20th century and the situations in today's post-colonial cities impacts adversely on the effectiveness of such planning systems and practices. In Africa, fundamental questions have been asked about the relation of planning to traditional urbanisms. At the same time, and most notably in east Asia, and as noted in previous chapters, we have seen the emergence of forms of planning linked to a development state able to deliver large-scale infrastructure and related urban development at a rapid pace. Furthermore, this approach is being packaged and delivered in other continents.

One reason why planning in many countries has not kept abreast of these deep changes is that it has been too parochial. Because legislation, procedures, institutions and policies have been shaped at national or, in federal states at provincial level, planning practice has been locked

into the specifics of those systems. There is no global system for recognition of a planner's professional qualification. Many planners have remained unaware or unmoved by the fact that urban development is one of the world's growth industries. Against that, climate change has created a new global awareness amongst many professional planners. The SDGs, the NUA and the IG-UTP, aided by the connectivity now available through communications technology, will help the profession and associated policy makers to make the change. As the manifesto in Chapter 1 says UTP should be rooted in a global perspective.

SHIFTING THE GAZE

The NUA (para.15) says

“
an urban paradigm shift is needed.”

This means readdressing (para. 15a)

“
the way we plan, finance, develop, govern, and manage cities and human settlements, recognizing sustainable urban and territorial development as essential to the achievement of sustainable development and prosperity for all.”

A reformed planning – UTP – is an essential ingredient of this cocktail, not just an optional add-on to fiscal, taxation, governance, management and environmental regulation regimes. The guidelines point to the practice of UTP as people-centred and participatory, and set out

“
priorities and actions at the global, regional, national, sub-national, and local levels that governments and other relevant stakeholders in every country can adopt based on their needs”

as required by the NUA (para.16).

Once a global perspective and human rights are put at the centre of planning, as they are in the IG-UTP and in this book, many perceptions and practices can change. The manifesto in Chapter 1 advanced key propositions that have been reiterated in subsequent chapters. Infrastructure, integration and links to budgets have been emphasised because these are areas where traditional planning practices have been found most wanting by the merciless pace, scale and complexity of urban development and rural change. Similarly, no one should now doubt the imperative to make urban development more sustainable and inclusive. It can be done and it will be worth the struggle.

One lesson is a paradoxical one: UTP plans need to hold fast to a long-term vision, but also need to be flexible in the face of unexpected change, to be nimble and responsive, and to be made quickly. Those making development on the ground, whether investors or households constructing informal shelter, will not necessarily wait for a lengthy planning process to run its course. The prescription in the manifesto is that plans need to be simple, clear and rapid. However, this is not just a matter of efficiency, important as that is, but rather a concern for equity. The answer lies in planning processes which are strategic and participatory. Urban development is a very uneven playing field, and the passion of the poor and vulnerable is unlikely to be a match for the lawyers that the rich and powerful can hire to argue their case through formal systems of appeal and review. The way to make UTP plans simple, clear and rapid will vary between types and aims of a plan, e.g. between a national scale framework document and a local upgrading plan. CSOs and social groups should not be afraid to make their own plans.

Planning skills need to be made more widely available, socially and spatially. The training of planners through higher education (often to post-graduate level) has substantially closed off entry to the profession for people from poorer backgrounds, or to poorer countries already short of professionals. While the existing structures undoubtedly produce some very able graduates, they do not meet the need for training on the job for those unqualified planners in remote locations or people in CSOs who become planners by default through being drawn into projects or other planning related activities. It should be possible to develop an appropriate package of online

learning opportunities to create a ladder of learning and qualification from sub-professional through to continuing professional development level.

People with UTP skills are needed in ministries and the offices of regional and local governments, and in consultancies alongside other construction professionals. They are also needed in health and in environment and in transport agencies. They are needed in CSOs, and to volunteer their time to provide support to the poor and other social groups seeking to develop or conserve the place where they live or work. They have a vital role to play in post-disaster reconstruction, and the even more fraught post-conflict situations, where physical reconstruction must be accomplished speedily, but also the most sensitive approach is needed to understand and respect the wishes of traumatised people, to rebuild trust and build new livelihoods. UTP skills are also needed in the refugee camps, where basic services need to be provided as quickly as possible, often to desperate people from different cultural backgrounds. Yet the essence of any form of planning is that it is proactive. Particularly at the territorial scale, where too often divisions can fester into conflict, UTP that creates a shared and practical vision of an equitable and sustainable future can be a force for peace and reconciliation.

So much need, so few resources, so little time. In many parts of the world, there will continue to be few planners and they are likely to have to fill many roles. Despite this, each and everyone should seek to make a difference. Mindsets matter. Planners and their professional associations need to have iron in the soul.

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Comments on Leading Change from IG-UTP Experts



I find this (book) to the point, giving a short and adequate explanation of why national, regional and local governments should use the IG-UTP. The language is easy to read, simple and does not use difficult words or phrases.

NORWAY



After reading this book no one should be wondering why we (have a) call for action! Well done!

NORWAY



Indeed, a very good job.

BRAZIL



The book represents what we discussed in our (Expert) group.

GERMANY



It's nice reading, so fluent and interesting. Well done!!

SPAIN



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