

# FUNDAMENTALS OF PLANNED URBANIZATION

Training companion





# **FUNDAMENTALS OF PLANNED URBANIZATION TRAINING COMPANION**

# **PRACTICAL GUIDE TO THE FUNDAMENTALS OF PLANNED URBANIZATION: TRAINING COMPANION ON THE INTEGRATED URBAN MANAGEMENT AND PLANNING TO SUPPORT THE NEW URBAN AGENDA AND SDG 11**

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The preparation of this training programme and training companion was preceded by a series of discussions and comments by UN-Habitat staff and consultants working with the Capacity Development, the Urban Planning and Design, the Urban Legislation and The Urban Economy: Laura Petrella, Maria Bohigas, Marco Kamiya, Jesus Salcedo, Sohel Rana, Giancula Crispi, Matthias Nohn, Thomas Stellmach, Yuka Terada, Yoel Siegel, Lilia Blades, Zuzana Vuova and Claudio Acioly.

The first version of this guide was tested during a training programme held at the International Urban Training Institute (IUTC) in January 2017 in South Korea, and addressed to senior managers from national and local governments of different countries of Asia. The training compendium was subsequently applied in a training targeting senior public officials from national and local governments in Surabaya, Indonesia, in November 2018. An executive and tailored version of the training was subsequently applied in Addis Ababa, Ethiopia, in March 2019, when UN-Habitat implemented a training for city leaders and representatives from academia. The final version of this Training Companion went through internal and external reviews and was peer-reviewed by external experts who provided useful advice and substantive suggestions.

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## Introduction to the Training Companion

# Introduction to the Training Companion

“Cities are at the center of economic growth worldwide, accounting for 80% of the global gross domestic product. Economies of scale and opportunities of agglomeration, realized by the concentration of people and economic activities, have the potential to transform cities into the loci of social progress and prosperity.

However, if the process of urban development is not well planned, inequality and social exclusion are ever-present risks. Cities that can avoid these pitfalls by focusing on sustainable development and adopting holistic and integrated sustainable urban management and planning approaches.”

*Maimunah Mohd Sharif, Under-Secretary-General and Executive Director of UN-Habitat*

The Fundamentals of Planned Urbanization is a training companion on the principles of planned urbanization. It supports UN Habitat’s efforts to develop human resources and institutional capacity for the implementation of the New Urban Agenda and the Sustainable Development Goal 11 (SDG 11). It also seeks to promote a paradigm shift towards sustainable urbanization. The companion includes eight modules to be conducted over the course of a five-day training, and is accompanied by presentations, interactive exercises, case studies, and opportunities for peer-to-peer exchange. Depending on interest and time available, the training can be tailored to focus on more specific topics and/or made shorter (see 1.4.1).

## 1.1 INTRODUCTION TO FUNDAMENTALS OF PLANNED URBANIZATION

Nowadays, cities are under tremendous pressure to keep pace with rapid urbanization, poverty and inequality, pollution and climate change and

other global economic forces. Compelling evidence demonstrates that urban planning and design is declining all over the world. Cities are expanding in endless peripheries, residential densities are reducing dramatically, and public spaces are diminishing. This is a direct consequence of the poor implementation and enforcement of evidence-based urban planning and design. Urban laws and regulations are weakly linked to sustainable urbanization. Housing solutions are largely unaffordable, located in peripheral areas, increasing the costs of urbanization and exacerbating socio-economic inequalities. Cities face challenges in generating revenues and mobilizing financial resources to properly plan and maintain.

The inability to address these challenges and manage cities in a way that can guide them towards a planned and sustainable urban future adversely affects the outcomes of urbanization. Cities can become a liability, developing into informal, congested, inefficient, polluted, segregated, and violent places to live (Principles of Planned Urbanization, 2016).

When managed well, cities can provide opportunities for urban value creation, through optimization of economies of scale and agglomeration. Planned urbanization helps create value, sustainable growth, productivity, and contributes to economies of scale to create prosperity for all urban dwellers. With around 3 billion more people expected to live in urban areas by 2050, it is more critical than ever that we plan and manage our cities well.

“Capacity building is the backbone of the New Urban Agenda. Without strong institutions that are capable to plan, manage and implement development policies and can rely on well-trained staff who are capable to respond adequately to the challenges of urbanization and the demands of cities and its citizens, it is nearly impossible to assure that cities will become a sustainable place to live and work in dignity and peace.”

-Position paper (2017), UN Habitat Capacity Development Unit



## KEY TERMINOLOGY

### Sustainable Development Goals (SDG)

The 17 interconnected Global Goals with 169 targets represent a universal call to action to end poverty, protect the planet, and ensure peace and prosperity for all. SDG 11 “Make cities and human settlements inclusive, safe, resilient and sustainable” in particular envisages a future in which cities provide opportunities for all, with access to basic services, energy, housing, transportation and more. The SDGs were adopted by world leaders in New York in September 2015.



### New Urban Agenda (NUA)

Global, action-oriented document to guide national and local policies on the development of sustainable urbanization, housing and human settlements. The Agenda was adopted in Quito in October 2016.



### City Prosperity Initiative (CPI)

Metric and a monitoring mechanism that enables city authorities, as well as local and national stakeholders, to identify opportunities and potential areas of intervention in their cities based on data.



### Integrated Urban Management and Planning Approach (Three-Pronged Approach or 3PA)

An integrated urban management and city planning approach to make the NUA happen at local level. It advocates in support of three key pillars: a clear business plan, strong planning capacity and a sound regulatory regime.

This urgency has been acknowledged globally through the adoption of the **New Urban Agenda (NUA)** at the United Nations Conference on Housing and Sustainable Urban Development (Habitat III, October 2016, Quito, Ecuador) and the adoption of a city-specific **SDG 11 “Make cities and human settlements inclusive, safe, resilient and sustainable”** in 2015. The New Urban Agenda is an action-oriented document which sets global standards to achieve sustainable urban development, rethinking the way we build, manage, and live in cities. As a means, it promotes the cooperation between committed partners, relevant stakeholders, urban actors at all levels of government as well as the private sector.

To achieve the goals set forth by the New Urban Agenda and the Sustainable Development Goals, UN-Habitat advocates for a cohesive and data-driven urban management and urban planning practice that integrates:

1. an **urban/spatial plan** that addresses density, land use, streets and public spaces, and the definition of public and private domains through urban planning and design;
2. a **legal plan** that contains the rules of land subdivision and land occupation, as well as the regulatory frameworks governing planned urbanization; and
3. a **financial plan** to mobilize resources for its realization.

This integrated urban management and planning practice is referred to as the **Three-Pronged Approach (3PA)**. This planned approach should result in a clear business plan and strong planning and regulatory capacity. It promotes a cross-sectoral approach, partnerships focused on delivery, streamlined procedures, but also participatory and inclusive planning processes.

One of the tools that can help implement this integrated approach at the local and national level is the **City Prosperity Initiative (CPI)**, developed by UN-Habitat in response to requests by local governments. CPI is the backbone of data and information to sustain evidence-based propositions and well-informed monitoring of the implementation of the new approach. CPI can help determine the critical areas of intervention, by employing a set of indicators that are intended to support the formulation of evidence-based policies, including the development of city- visions and action plans with measurable and objectively-verified results.

Evidence has shown that lack of capacity is among the top five reasons hindering the realization of sustainable urban development. Cities often do not have the human and institutional capacity, nor adequate and reliable data to objectively understand their own urbanization processes. Without data, urban policies tend to be blind repetitions of proven solutions, which may work well elsewhere, but not necessarily in all cities. The lack of baseline data and clear indicators furthermore results in the inability to track progress.

This training companion embraces a culture of multi-disciplinary approaches to addressing urbanization challenges and makes use of various UN-Habitat

tools. The companion introduces the integrated urban management and planning and CPI concepts and methodologies as a guiding framework to this training, provides methodologies for addressing specific planning topics, and includes case studies that illustrate the applicability of these approaches. Participants also have the opportunity to apply their skills in different exercises, which accompany each module.

## 1.2 TRAINING OBJECTIVES



The overall goal of this training is to mobilize and empower decision makers and practitioners in implementing the New Urban Agenda & SDG11. The training objectives are following:

- i. To build human resources capacity by equipping participants with the knowledge, skills and tools related to planned urbanization and sustainable urban development;
- ii. To strengthen institutional capacity for improved effective and efficient urban planning and management;
- iii. To create understanding on the Fundamentals of Planned Urbanization as a methodology for urbanization resulting in equity, shared prosperity and environmental sustainability, by the integration of the integrated urban management and planning approach;
- iv. To raise awareness on the importance of

participants' understanding of the current state of our cities, helping them gain a solid overview of existing global agreements addressing urban challenges. In addition, participants will discuss the need for evidence-based policies to create liveable cities for all.

### (ii) Days Two-Five

This second part of the training builds on the day one module and focuses on specific urban planning themes and different city dynamics. The objective of this part of the training is to provide practical insight and hands-on learning experience around the topical areas. The modules include learning on how to apply the integrated urban management and planning to key urban topics (planned city extensions, housing, mobility, slum upgrading and climate change). It also provides an overview of the role of evidence based and data-driven policy-making, as championed by CPI.

## 1.3 TARGET AUDIENCE



This training has been developed for two specific groups of audiences:

- (i) The first audience includes mayors, senior officials and decision-makers. This audience should be particularly interested in modules 1-3 (Day One) of the training that introduces the three components of the integrated urban management and planning approach as well as CPI tools to monitor and implement the principles of planned sustainable urbanization;
- (ii) The second audience includes senior and technical municipal staff from planning, budgeting and

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