

An aerial photograph of a city, showing a mix of residential buildings, green spaces, and a major road with traffic. A large teal triangle is overlaid on the left side of the image, containing the title and subtitle text.

# The Implementation of the Principles of Planned Urbanization: a UN-Habitat approach to sustainable urban development

Working Paper

## Contents

1	Acknowledgements	3
2	Preamble	4
3	Sustainable Urbanization as a Source of Prosperity (and Wealth)	5
	Principles for Sustainable Urbanization	6
4	SDG-11 and Habitat III: Call for Sustainable Urbanization	7
5	Planned and Sustainable Urbanization is by Choice, Not by Chance.	7
6	An Integrated Approach for Sustainable Urbanization: The 3PA	9
	6.1 Rules and Regulations	14
	6.2 Urban Design	16
	6.3 Financial Plan	19
	6.4 How Do These Three Components Interact with Each Other?	20
7	Integrating the 3PA in UN-Habitat Initiatives and Programs.	23
	7.1 The Basic Toolkit: Analysis and Prospective	23
	7.1.1 City Prosperity Initiative	24
	7.1.2 Rapid Planning Studio	25
	7.2 The Extended Toolkit: Long-term Technical Assistance and Policy Assessment.	26
8	References	29

## 1 Acknowledgements

The production of this paper was coordinated by the Capacity Development Unit of the Research and Capacity Building Branch of UN-Habitat. It has been reviewed and commented by a number of individuals belonging to different units of UN-Habitat before its present version. The purpose of the paper is to unfold the principles of planned urbanization as an approach advocated by UN-Habitat to address the challenges facing cities in the developing world. Ultimately the paper is meant to sustain the development of a training module that will support the capacity building program that will be rolled out in the aftermath of the Habitat III conference.

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## 2 Preamble

This paper is prepared as a background working paper outlining the principles and application of planned urbanization, herein called the Three-Pronged Approach (3PA) of UN-Habitat.

This approach advocates for an integrated urban management and urban planning practice that simultaneously adopts the implementation of (1) an urban/spatial plan that addresses density, land use, streets and public spaces, and the definition of public and private domains through urban 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) the financial plan to mobilize resources for its realization.

This paper is meant to provide the foundation for the design of a training programme and the development of training materials and case studies which are part and parcel of its curriculum.

The paper elaborates on the conceptual and practical framework of the principles of planned urbanization, characteristic of the integrated approach adopted by UN-Habitat to address the challenges of rapid urbanization in the developing world, namely (1) Rules and Regulations, (2) Urban Design, and the (3) Financial plan.

From the outset, this paper argues in favor of a deliberate choice for planned and sustainable urbanization and clarifies key elements and principles required for implementation. It clarifies the linkages and synergies between the Habitat III process, the New Urban Agenda, and the Sustainable Development Goals (SDG), particularly SDG-11 on cities and human settlements.

To conclude, this paper elaborates on the synergies between various UN-Habitat programs and elaborates on a number of existing toolkits, including the Rapid Planning Studio and the City Prosperity Initiative.

### 3 Sustainable Urbanization as a Source of Prosperity<sup>1</sup> (and Wealth)

Our world has become predominantly urban over the last century. Today, over half of the global population lives in urban areas. These urban areas will accommodate an additional 2.5 billion people by 2050, amounting to 70% of the world's population.<sup>2</sup> Lewis Mumford, quoting Aristotle, wrote “that men came together in cities and towns<sup>3</sup> to live, but remained there to live the good life.”<sup>4</sup> However, the capacity of cities and towns to absorb population growth and enable such good living (as measured by wealth and quality of life) depends, among other factors, on the quality of its urbanization process.<sup>5</sup> In other words, it depends on how well urban development is managed and planned for, and the extent to which the benefits resulting from urbanization are equitably distributed amongst its population.

Current development trends have demonstrated the inability of cities to cope adequately with the challenges of sustainable urbanization and to deliver implementable and feasible solutions for all, not only in developing and rapidly urbanizing countries, but also in developed and highly-urbanized nations. Physical and social spatial segregation, increasing congestion and pollution, and shortages of adequate housing are conditions found in both developed and developing countries, though in varying levels and intensities.<sup>6</sup> Concerns regarding land supply for urban development are increasingly common in countries at all levels of economic development, not only due to land being a finite resource with a wide range of competing functions, but also due to the increasing penetration of market forces, speculation, and quick profit approaches<sup>7</sup> into the efforts of developing and providing accessible land. In the developing world, and particularly in Sub-Saharan Africa and some parts of Asia, urbanization has become synonymous with informal settlements and slum formation,

meaning that cities are not growing on the basis of an enacted urban plan and land use ordinance, but rather through informal land development processes and self-built housing. UN-Habitat data suggests that 1 in every 4 urban dwellers in the world lives in slums today.<sup>8</sup>

We must take into account that cities and towns have made and remade themselves in the image of political ideologies, some characterized by the *laissez-faire* and some by strong regulatory frameworks. In many cases these ideologies have, directly or indirectly, intensified poorly-planned and informal urban growth.<sup>9</sup> In general, such ideologies are built upon insufficient technical and economic resources, poor strategies, and management decisions driven by inertia,<sup>10</sup> free market forces, or, in certain contexts, upon both simultaneously.

Under such circumstances, it is very difficult to respond at the speed and with the strength required to accommodate urban expansion or redevelopment within a formal planning framework and to control the pressure of real estate markets. But, paradoxically, the pressing challenges faced by cities and towns also hold the key to aligning urbanization processes in an equitable and sustainable way that enhances overall prosperity.

It is time to reclaim and advocate for processes which ensure that, when urbanization takes place under certain conditions and it is well-planned and managed, it becomes a tool to foster sustainable development and produce the wealth and prosperity that improves the lives of all urban dwellers, especially the poor and the vulnerable. Sustainable urbanization supports urban value creation through economies of scale, economies of scope, and agglomeration economies.<sup>11</sup> The first theory highlights the correlation between city size and productivity; the second states

that the proximity afforded by urban areas facilitates synergies and sharing; and the third emphasizes the productivity advantages of a city's setting with respect to innovation, job, and wealth creation. If urban value generation has the potential to foster economic growth, social development, environmental sustainability, and resilience, then well-planned urbanization should ensure the redistribution of this value by

facilitating job creation, equal access to adequate housing, public services, and healthy and safe environments (air, soil and water that are not physically vulnerable ) for all. Urbanization, steered by values of equity, sustainability, and integrity<sup>12</sup> can leverage the benefits attributed to good urbanization and achieve greater collective prosperity and benefits for all

### *Principles of Sustainable Urbanization<sup>13</sup>*

In 2015, Resolution 25/15 was adopted by the UN-Habitat Governing Council, approving the International Guidelines on Urban and Territorial Planning (IGUTP). The IGUTP are intended to be a framework for improving global policies, plans, designs, and implementation processes. The Guidelines promote key urban and territorial planning principles and recommendations that can assist all countries and cities adopt a strong inter-sectorial and multi-level/multi-scale approach. Moving away from a prescriptive, legislative approach, toward serving as a source of inspiration, the IGUTP can be readily adapted to local contexts.

The Guidelines have been designed as a universal framework, a reference document integrating the three dimensions of urban policy (why plan?), management processes (how to plan?) and technical products (what urban and territorial plans?). The Guidelines are conceived as an instrument to promote sound urban and territorial planning around the world, based on universally-accepted principles and national, regional, and local experience. Together, the IGUTP form a broad framework to guide urban policy reforms, taking into account specific approaches, visions, models, and tools existing in each country. The main content of the IGUTP is summarized in the 5 following principles:

1. Integrated policy formulation and implementation;
2. Transformative renewal strategies;
3. Environmental planning and management;
4. Planning for compact and connected cities and regions; and
5. Inclusive and Participatory planning.

## 4 SDG-11 and Habitat III: Call for Sustainable Urbanization

The Istanbul Declaration on Human Settlements recognizes that:

*cities and towns [are] centres of civilization, generating economic development and social, cultural, spiritual and scientific advancement. We must take advantage of the opportunities presented by our settlements and preserve their diversity to promote solidarity among all our peoples.*<sup>14</sup>

The 2030 Agenda for Sustainable Development, adopted in September 2015, recognizes the power of urbanization to transform the current model of urban development and admits that there can be no sustainable development without sustainable urban development. In particular, Sustainable Development Goal 11 (SDG-11) sets a target to “make cities and human settlements inclusive, safe, resilient and sustainable.”<sup>15</sup> Other goals and targets are also important as they make clear that the SDGs and other urban agendas must be underpinned by a fundamentally pro-poor agenda.

In parallel, and as a first step in the implementation of SDG-11 in particular, Habitat III, the United Nations International Conference on Housing and Sustainable Urban Development, is an opportunity to define a new urban policy agenda as global trends of urbanization are being questioned and challenged. The New Urban Agenda<sup>16</sup> should discuss two key issues. First, that a new way of managing cities is needed, and second, that this new approach – understanding planned urbanization as a source of prosperity – has the potential to be both more inclusive and extraordinarily productive and effective in delivering positive urban conditions for all, and especially for the most vulnerable groups.

## 5 Planned and Sustainable Urbanization is by Choice, Not by Chance.

The New Urban Agenda proposed by UN-Habitat argues that some ways of maximizing the transformative outcome of urbanization are more successful than others. For example, adopting certain sustainable and inclusive principles and approaches may emphasize “better” ways to plan, design, build, engage, and manage cities and towns that are more effective and sustainable over time.

Current planning practices in many rapidly-urbanizing countries are opting for building typologies with small footprints (5-10%), thereby creating the characteristic “tower in the garden.” In the 1970s and 1980s, academics and experts, including Jane Jacobs, William Whyte, and Oscar Newman, among many others, examined the failure of existing models of urbanism and called for a new urbanization based on the principles of density, compactness, variety of uses, and social diversity. In parallel, a number of cities and towns, especially in developing countries, are repeating mass housing schemes to provide affordable housing that is built on cheap and peripheral land where people usually have limited access to services, jobs, and opportunities. The result is that, in many countries, the stock of vacant houses is increasing even when millions of people have nowhere to live.<sup>17</sup> The combination of these models is contributing to social, environmental, and financial costs far beyond what the majority of cities and towns can afford.

The capacity of urbanization to become a tool for prosperity and wealth creation is not the result of an abstract or generic vision, but of practical action informed by knowledge, data, past experience, and local conditions. Managing urbanization will impact politics, social norms, institutional change, and the broader financial system.<sup>18</sup> Planned urbanization that is sustainable

and inclusive is, therefore, the result of clear and strategic choices; it does not happen by chance. Planned urbanism creates the necessary conditions to improve citizens' lives and increase their chances of prosperity,<sup>19</sup> although it may not be enough to solve all the challenges and problems that contemporary urban societies are facing. Sustainable urbanization is accomplished both at the outcome level – a more equitable and sustainable city – and throughout the process – a better way to guide and leverage the transformation of our cities through expansion and redevelopment actions. It requires institutional capacity, urban planning, and management tools, as well as the ability to employ them and enforce their outcomes on existing and newly-formed cities and human settlements.

Given the differences in context and conditions between cities and towns around the world, we cannot ignore that the successful implementation of plans which deliver sustainable urban development processes and planned urbanization outcomes, particularly to address deeply rooted structural social, economic, and spatial inequalities, requires strong political will, law-enforcement capacity, and partnerships with all relevant stakeholders. It is important to recognize that urbanization is not a politically-neutral professional practice, but the expression of a series of collective social, economic, and political choices. This realization highlights the need for political leadership as such choice is not built on the absence of tensions and disputes among different interest groups. In this regard, creating appropriate partnerships that are directed toward sustainable urbanization should be understood as a process that is participatory and inclusive in its outcomes. Collective choices must recognize and commit to the needs and demands of the poorest and most vulnerable citizens within a society.

In this context, UN-Habitat's approach and its advocacy for a New Urban Agenda provides an opportunity to review current urban planning

and management practices and to propose the adoption of fundamental principles and approaches that promote planned urbanization that are, in essence, environmentally sustainable, spatially and socially-inclusive, legally-bound, rights-based, and economically and financially sound.

The United Nations Human Settlements Programme (UN-Habitat) is mandated to promote sustainable urbanization and human settlement development, and to support national and local governments in this regard.<sup>20</sup> National, regional, and city governments are struggling to cope with demographic pressures and increasing demands for housing, land and infrastructure, services, and employment, while being pressed to address the dynamics of market forces operating within the urban setting. Land, housing, and real estate markets can generate development speculation, social exclusion, and spatially-segregated cities if not properly regulated and managed. 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. In other words, cities can become a liability and lose the opportunities provided by urbanization, becoming more likely to develop into informal, congested, inefficient, polluted, segregated, and violent places to live.

There is little to no room available for governments to manoeuvre around social, economic, and market forces in the development and management of cities. It is, therefore, high time for a paradigm change. The current global situation has triggered UN-Habitat to bring forward a strategy for planned urbanization. It proposes a review of planning tools and approaches, as well as the adoption of principles structured around a Three-Pronged Approach (3PA) that will help cities follow a path of sustainable urbanization that is based on a plan to make serviced land available, a financial strategy, and a solid regulatory framework. In practice, these principles will assist in the

realization of an urban/spatial plan that addresses density, land use, streets and public spaces, and defines public and private domains through urban design. They will encourage the creation of a legal plan that enforces what is buildable and non-buildable land, and the rules for occupation. Finally, the Three-Pronged Approach will guide the development of a financial plan to mobilize resources for a proposal's realization. The ultimate goal of this proposed approach is to achieve sustainable urbanization that will, in turn, provide wealth and prosperity for all urban citizens.

## 6 An Integrated<sup>21</sup> Approach for Sustainable Urbanization: The 3PA

The advantages of sustainable urbanization, as discussed above, are generated by proper and adequate conditions of proximity, density, social cohesion, and accessibility,<sup>22</sup> among others. The economies of scale and conglomeration that are inherent in cities create opportunities for individuals and businesses alike. However, those advantages are not necessarily present in every urban area and are not automatically maintained as cities and towns evolve over time. There are, rather, planning and regulatory activities, design decisions, engagement practices, strategically-sound public investments, and education opportunities that are necessary to ensure the establishment or preservation of ideal conditions. Cities and towns, regardless of their unique characteristics, are discovering that they cannot accomplish sustainable urbanization solely by relying upon existing master plans or conventional practices and methods of urban planning, management, or governance.<sup>23</sup> Today, urban challenges require more than one lens through which to deliver urban solutions and to plan and build a city or town's future.<sup>24</sup>

Integrated approaches aim to combine many lenses and align them so that multiple and

diverse actors (inputs) can move forward from common ground. Integrated planning is necessary, but is not sufficient for progressing toward sustainable urbanization.<sup>25</sup> Sustainable urbanization does not happen effortlessly; it involves asking new questions, changing behaviours, and shifting expectations. It also requires bringing new partners and materials to the table where urban visions are being built, plans are being created, and decisions are made, in order to enrich assets, expand resources, and identify options. Given these conditions, urban practices and tools cannot be isolated, but must work with each other in a process which entails rethinking working practices and relationships between disciplines. Persistence and courage are essential in achieving collaboration between different practices and in applying sustainability tools throughout the process of designing and implementing urban development. To a large extent, it is a "learning-by-doing" exercise.<sup>26</sup>

In order to accomplish these goals, UN-Habitat is proposing a Three-Pronged Approach (3PA). The 3PA is an integrated approach to the three main components which are inherent to any urban development process: **rules and regulations, urban design, and a financial plan.** Such an approach may not be sufficient for achieving sustainable urbanization, but it is necessary to improve and impact the physical conditions in which development work is being undertaken in many countries. The 3PA does not attempt to undermine other methods of development, but seeks to encourage an integrated, interdisciplinary approach to problem solving in which each action and decision is shaped according to the physical, social, economic, and ecological context of a place.

**Rules and regulations** are understood as the establishment of a system of rules and regulations that provide a solid and predictable long-term legal framework for urban development. This approach includes rules for land allocation for urban development, defining what is public and private domain, norms for occupation, typologies

of buildings affecting urban densities and codes, and regulations for designing and defining streets, public spaces, residential areas, and so forth. Areas requiring special attention include accountability, implementation feasibility, and the capacity to enforce the legal framework, where applicable.

**Urban design** defines the fundamental layouts of common urban spaces, which become one of the main contributors to the generation of urban value. Equally important is the clarity of the block and plot network, and the spatial demarcation of what is buildable and non-buildable land that influences the urban configuration for both infill and planned city expansion. Urban design tools should strive to facilitate and strengthen social diversity, human interaction, connection with the cultural aspects of a city, and the aspirations of citizens.

A **financial plan** acknowledges that the successful implementation of urban strategies

is dependent on a sound financial basis and the ability of public investments to cover operations and, ultimately, generate economic and financial benefits for a city. A financial plan encompasses a strategy that draws on the assets of the city, including its land resources and comparative advantages, as well as outlining the fiscal tools required for revenue generation.

These three components must be considered simultaneously, working together in a system of mutual interaction and interdependence. The three approaches are not solely theoretical, but are vital tools focused on practical implementation and to address specific needs. They should, therefore, be balanced in their application to ensure positive and achievable urban outcomes. The Three-Pronged Approach should lead to increased cross-sectoral synergies, delivery-focused partnerships, and streamlined and effective procedures. It promotes participation throughout the process and inclusiveness with respect to the outcomes.

## COORDINATION

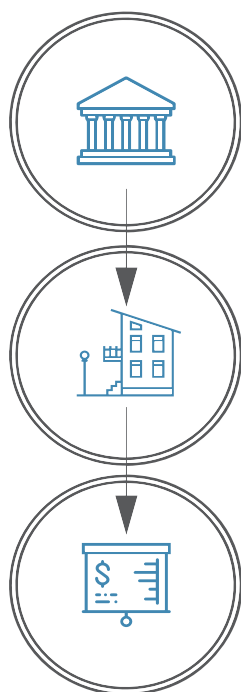
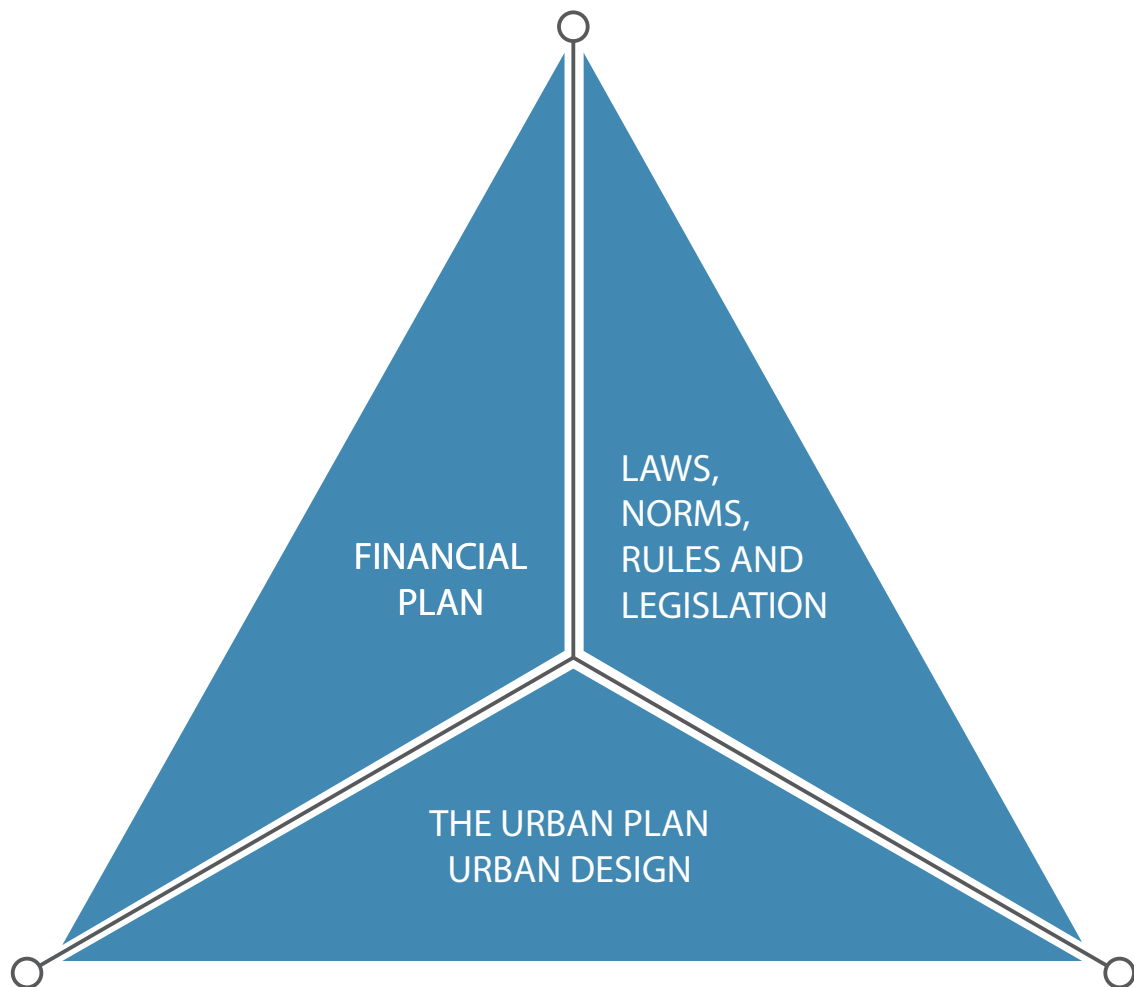


Figure 1. The 3PA as a coordinated process

## INTEGRATION



Figure 2. The 3PA as an integrated process



## THE 3PA APPROACH OF UN-HABITAT

*Figure 3: UN-Habitat 3PA to Planned Urbanization*

The Governing Council of UN-Habitat adopted the International Guidelines and Principles on Urban and Territorial Planning (IGUTP) and other policy instruments as a universal framework that addresses the planning and design of the urban landscape. The 3PA endeavours to match the generic urban solutions and strategies stemming from this framework with the existing socio-economic conditions of places, cities

and human settlements, the structure of civil society, and political forces active at the local level. In doing so, it helps to deliver targeted and appropriate results contextualized to places, while taking into account technical and management capacity, political strength and commitment, social participation and inclusiveness, and financial resources.

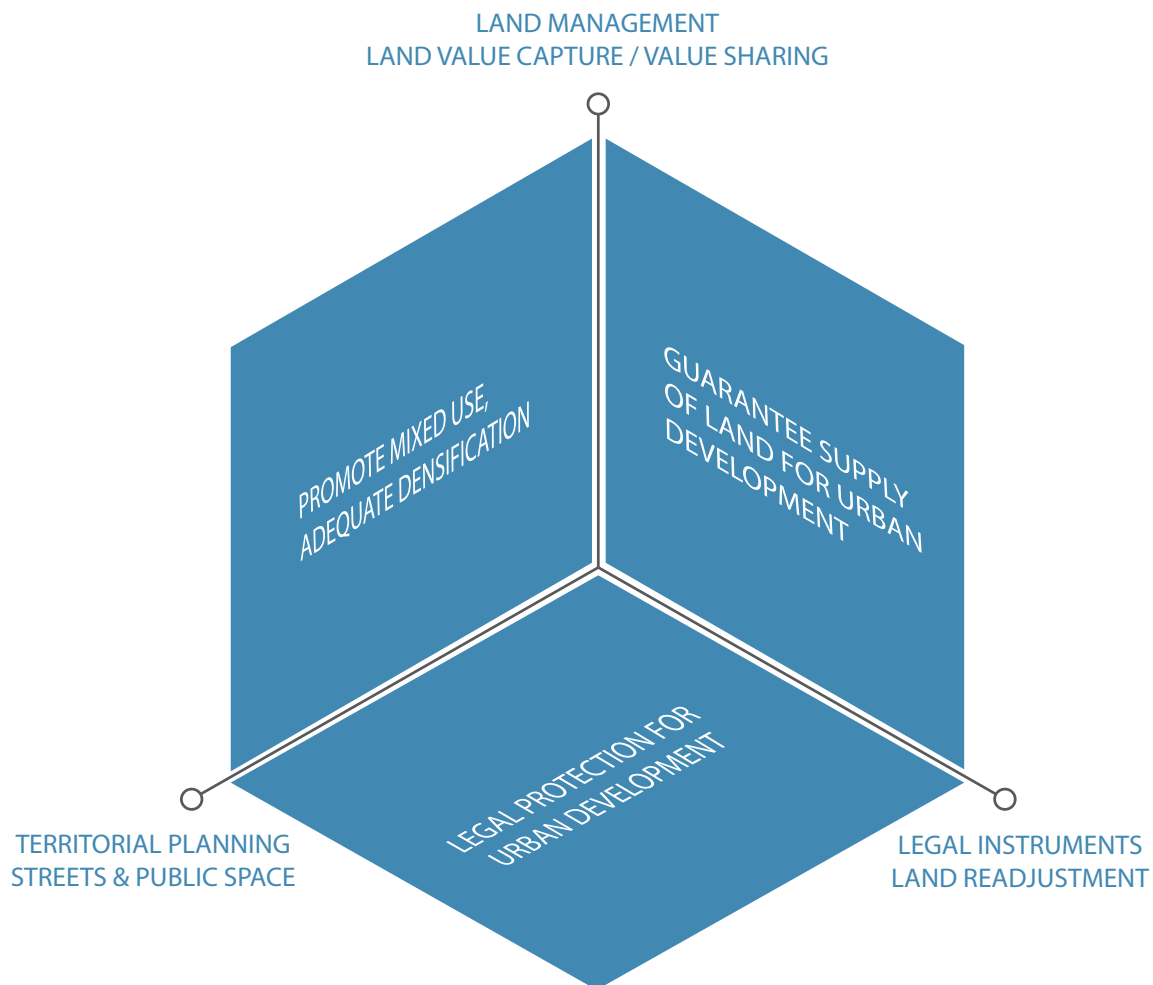


Figure 4: UN-Habitat Three-Pronged Approach

**The three components of the 3PA must be evidence-based and, therefore, implementation should be based on data and evidence in order for proposals to be responsive to concrete problems and sensitive to specific urban realities.** This is in direct opposition to a “one size fits all” solution.<sup>27</sup> Evidence must be derived from analytical, quantitative, and qualitative diagnoses drawn from local knowledge and expertise. The use of empirical data and concrete evidence in the design of urban solutions represents an attempt to overcome the limitations of abstract and subjective problem analysis. It seeks to establish realistic terms for development, while providing opportunities for impacted individuals and

communities to have a voice in the process. This process enables well-informed participation that strengthens inclusion, improving the quality of assessment of the options and expected results, while bearing in mind that solutions must reach the most vulnerable.

The City Prosperity Initiative (CPI), which has been developed and applied by UN-Habitat, is a tool to support the evidence-based 3PA. The CPI strengthens the integrated urban management character of the 3PA by introducing the holistic notion of urban prosperity. The CPI measures the performance of urban policies and helps to monitor outcomes, while assisting policy and decision-makers identify problem areas

and shortcomings that require policy attention and public intervention. The CPI helps define targets and goals in a well-informed manner 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. When fully-integrated into the Three-Pronged Approach, the CPI becomes a powerful tool to identify and visualize problem areas, and to support cities in defining policies and actions for prosperous, inclusive, and sustainable urbanization.

**The three components of the 3PA must not be considered as entry points, but as a holistic methodology to facilitate well-planned urbanization and to help cities move toward a sustainable urban future.** This integrative approach produces not only a vision, but also a practical process to address today's problems and guide the future of urbanization, both at the political and practical levels. This process should be owned and implemented by local stakeholders, with special attention given to the most vulnerable groups. It is an active process that defines the vision, identifies the resources needed to realize this vision, provides the legal and regulatory frameworks which underpin all actions related to urban spaces, and which supports political urban actions, allowing them to take place in a consistent and sustainable manner.

**The 3PA is a cross-scale and cross-disciplinary<sup>28</sup> approach to address the specific needs and challenges of urban areas.** As mentioned above, this approach provides the main elements needed to guarantee coherent and successful implementation that generates positive change. The 3PA is an integrative approach that should not be viewed as separate activities organized in linear steps to prepare and implement a plan under the responsibility of separate institutions. On the contrary, the 3PA builds a broader understanding of the institutional and organizational environments, governance, and

management that are needed to design and implement urban development projects in an effective way.

**The 3PA relates to all the thematic areas of UN-Habitat's strategic plan. It means that all functional units responsible for the different work programs must engage in the adoption of this methodology and further develop and share any knowledge gained.**

Putting this methodology to work requires input from a variety of fields and experts. It is not only about urban design, urban planning, urban laws, and urban finance, but also about policy, management, communication, coordination and articulation, and other expert knowledge, including slum upgrading, housing, infrastructure, urban renewal, climate change, urban economics, and other areas related to the problems being addressed. These diverse fields will engage in the interactive creation, dissemination, and implementation of knowledge, as well as in monitoring the outputs and impacts of sustainable, planned urbanism.

**The 3PA combines the capacities of UN-Habitat to develop and implement *normative and operational* activities to advise national and local governments and other institutions<sup>29</sup> involved in urban development projects.** The 3PA pursues "integrated products" (development strategies and solutions) in which operations inform policy or research (normative), or, inversely, where policy and research suggest promising practical solutions (operational dimension) which are then tested, validated, adapted, or rejected.<sup>30</sup>

As a normative product, the 3PA informs, recommends and strengthens policies, laws and regulations, at the national and local level, required to put in place physical and financial plans. For example, the 3PA advocates land-based finance and resource mobilization strategies which encourage the implementation of land readjustment and land value capture instruments as key urban management tools

to generate the funding required to finance planned urbanization. The integrative character of the 3PA challenges traditional administrative structures that are still divided into sectorial areas and encourages the design of solutions for planned urbanization. It encourages interaction and integration, which challenge conventional master plans and “business as usual” approaches.

As an operational product, the 3PA highlights that any urban proposal has to foresee (1) urban design, (2) the rules and regulations that will drive and sustain the process, and (3) the means to carry it out and maintain it over time. These three pillars have to be developed simultaneously and interactively as one single policy and urban management strategy, otherwise an organization runs the risk of failing to produce its planned urbanization outcomes.

By adopting the Three-Pronged Approach, UN-Habitat is expanding its existing expertise and capacity to retrofit changes to the institutional structures of cities, thereby emphasizing the need for integration into policy and decision-making. As it triggers policy discussions, the 3PA becomes an instrument to orient policies, laws and regulations that generate effective and positive impacts on the urban growth patterns and spatial structures of cities. Sustainable urbanization demands new or evolved solutions through a continuous “learning by doing” process in which collaboration, consistency, and unity among normative and operational programs are applied to cities. This approach appears to be more valued than in earlier periods. It has become a sine-qua-non<sup>31</sup> condition for successful planned urbanization.<sup>32</sup>

In summary, planned urbanization as an integrative aspect of sustainable urban development can only be achieved by strong public institutions and processes that apply the 3PA, underpinned by rights-based principles and respect for human rights. Planned urbanization is strongly sustained by participatory and inclusive elements, however, institutions and processes

often lack the coordination and capacity necessary to manage the numerous groups and interests involved in urban development. In this way, **the 3PA contributes to the creation of a reviewed policy and law-making culture at the normative level, and supports the creation of effective structures and procedures to deliver appropriate urbanization outcomes that are explicitly pro-poor and focused on social, environmental, and economic sustainability.**

Enforcement and implementation of planned urbanization principles do not happen by chance. There are too many examples of adopted and enacted plans that were never implemented because they lack one or two elements of the Three-Pronged Approach. Plans and their associated spatial/urban design can be successfully implemented only when developed as a single initiative with the legal and financial tools required to execute and enforce them. Additionally, these elements must be combined with institutional development and financial strategies, as well as with coordination mechanisms and an organizational framework that defines the roles and functions of all stakeholders involved.

## 6.1 Rules and Regulations<sup>33</sup>

Rules and regulations determine the foundation of the social contract for urban development, setting boundaries for the interaction between social, economic, and political stakeholders in the urban landscape. They are bound by local conditions, including existing cultural, social, economic, and political contexts. They regulate the provision and accessibility of public space for all, granting or retaining building rights, and rules for upholding building codes, norms, and standards that regulate and guide city-building. The relationship between urban development and rules and regulations is one of interdependence: sustainable urban development requires sound<sup>34</sup> and adequate urban legislation, closely related to governance and accountability processes to achieve results.

Sound urban legislation defines the conditions for the recognition, respect, and protection of basic human rights and their realization in a city. It outlines the responsibilities and obligations of duty bearers (e.g.: local, regional, and national governments) and claim holders (e.g.: citizens, slum dwellers, and civil society organizations) and the relationships between them which contribute to the realization of the right to adequate housing including, but not limited to, the laws regulating the supply, management, and access to serviced land and basic urban services. Rules and regulations are part and parcel of a

body of urban legislation that outlines rules for urban planning, decision making, participation, and inclusion of all, especially vulnerable groups. They ultimately ensure that no one is left out of the framework of rights and obligations in a city. They guide the improvement of livelihoods and living conditions by overseeing the basic requirements for urban development initiatives and set the context within which urban authorities, local governments, and communities are expected to operate and fulfil their mandates, react to emerging challenges, and be accountable.

Solid urban legislation can be achieved through:

- Evidence-based law-making, tailored to the capacity of local governments;
- Recognition of the social capital, socio-economic conditions, and specificities of the population involved;
- Taking into account the voice of the communities involved, with particular attention to the poorest and underprivileged citizens, to foster social inclusion;
- Facilitating compliance by making legislation clear, simple, and accessible; and
- Paying attention to enforcement capacity for the implementation of planning decisions.

The mere existence of legislation does not ensure effective urban management and development. A legal framework for urban development cannot be conceived in the absence of governance and law-enforcement capacities. Governance helps structure a system comprised of institutions, laws, norms, and behaviours that enables a city's resources to be allocated amongst stakeholder groups on an equitable basis, with particular attention to the poorest citizens.

Cities and urban areas are the driving force of national economies, but often they have neither the resources nor the competences to fulfil this role. Urbanization can pose challenges that extend

far beyond an official's jurisdiction,<sup>35</sup> particularly in countries where local authorities have limited autonomy to act in urban jurisdictions. As a result, it is critical to strengthen and integrate efforts from national and local governments, as well as from other stakeholders, relating to land and housing policies, particularly given that national-local relations will determine land supply for housing and urban development at the local level. National urban and housing policies help to coordinate the work of different sectors and tiers of government, encourage the establishment of policies that define the incentives for more sustainable practices, and provide a basis for the allocation of resources.

Land availability and management are key drivers for the best (sustainable) and worst (unsustainable)<sup>36</sup> urban developments. Solid urban legislation (rules and regulations) must ensure that land is properly registered and its associated rights are unequivocally protected in public registries. This is a sine-qua-non condition for transparent land management, which is one of the fundamental steps to ensure an adequate supply of land for planned urbanization. Urban land is a limited resource and a wide variety of proposed and actual uses compete for a finite amount of serviced land. The increasing competition for the best and highest use of land stimulates a rise in land prices that ultimately propels speculative and exclusionary urban land markets. Understanding the rationale behind both formal and informal land markets is, therefore, fundamental to the success of the 3PA. The formulation and enforcement of legal instruments that enable cities to dispose of and make land available for housing and urban development is key to the success of planned urbanization. The design of such instruments is part and parcel of the legal plan and thus an integrative part of the Three-Pronged Approach.

The 3PA integrates many dimensions of land use and management. The allocation of land for planned urbanization requires the ability to intervene in the domains of public and private ownership of land. It also implies a strengthening of the interconnectivity between the different forms of land tenure (lease, public ownership, and private property) and of the bylaws regulating floor area ratio and development rights (air rights, surface rights, etc.) that are applied when land is subdivided and parcels are occupied. This ability will allow regulations to enable greater compactness and densification of urban areas, as designated in an urban plan that is comprised of the physical design and the body of planning and policy legislation associated with its implementation. All of the aforementioned factors must be understood within the context of the land and property markets. When public investment

in infrastructure and public space generates increases in land and property values, the 3PA advocates for the adoption of land value sharing and land value capture mechanisms to generate resources in order to sustain the continuation of planned urbanization initiatives. The associated legal framework must provide guidance for the development and implementation of such mechanisms. Rules and regulations must include both land management tools and development control mechanisms that determine outcomes at both the individual plot level, and also at the neighbourhood and city levels. Similarly, a sound financing and economic strategy must be put in place as an integral part of the 3PA.

## 6.2 Urban Design

Urban design is what defines the spatial dimension and physical configuration of urban strategies and policies. The relationship between urban design and sustainable urbanization is one of interdependence. Decisions on residential and building density, floor area ratio, and the amount of land allocated to streets and public spaces will impact the quality of the urban environment, the efficiency of the urban configuration, and ultimately, a citizen's interaction with their city.

Too often, physical design begins at the end of a planning process when the vision for the public realm has been exhaustively described and analysed. Proposals are, therefore, commonly defined based on abstract and generic considerations resulting from typical zoning and land use ordinances. The 3PA proposes a different path. It proposes an integrated approach that is informed by evidence and data assembled and analysed throughout the City Prosperity Initiative, whereby each component and dimension of urban prosperity is tackled simultaneously from the outset. It is an integrated approach that considers spatial, legal, financial, and regulatory issues in a holistic manner, following notions of prosperity as defined by the CPI. It is an integrated approach, not merely an exercise of coordination in a linear process.

Sustainable urban design can be achieved through:

- Producing evidence-based knowledge of the existing physical, social, economic, and legal constraints and their implications for the design outcomes and urban/spatial configuration;
- Understanding the results of the CPI, the dimensions and sub-dimensions of urban prosperity, and its application when decisions are made and alternatives are designed;
- Recognizing the social capital, the socio-economic conditions, and the specificities of the population involved;
- Taking into account the voice of the urban stakeholders and communities involved, in particular the poorest and most vulnerable, to foster social and spatial inclusion;
- Designing choices simultaneously at different scales – in general and in detail;
- Understanding and applying planning as a systemic and incremental process; and
- Commitment to ensuring practical feasibility.

In terms of the spatial dimension, specific attention should be given to the design, accessibility, and connectivity of the public spaces within the urban structure, with provisions for appropriate street patterns and open spaces that, together with individual plots and buildable blocks, form the pattern for urban development. In fact, streets and public spaces are the essence of urban life, providing the inherent qualities of the urban landscape that, in turn, contribute to urban value generation. The 3PA integrates these elements and brings housing to the forefront of urban policies, shifting from the conventional practice of building houses and flats, toward a holistic housing development strategy that considers residential typologies, densities, single and multi-family solutions, high-rise or low-rise solutions, tenure options, and overall housing quality and affordability. Given the sizeable investment that housing represents, the 3PA encourages the implementation of housing policies that are integrated into urban development, orchestrated

by this renewed planning practice, and which place people and human rights at the forefront of sustainable development.<sup>37</sup>

Another key issue in an integrated 3PA is the role of urban design and planning in preventing, formalizing, and regulating slums and informal settlements. UN-Habitat has adopted a street-led, citywide slum upgrading strategy that identifies streets and the area-based settlement plan as a point of departure for the incremental development and integration of slums and informal settlements into the formal and legal urban fabric of cities.<sup>38</sup> The strategy promotes a step-by-step approach to street-led slum upgrading and the spatial, judicial, and economic integration of these settlements into the urban planning and management systems that govern cities.

In order to achieve these objectives, sustainable urbanization should be developed on the basis of the following criteria:<sup>39</sup>

- Plan in advance and prepare the urban landscape for anticipated population increases;
- Adopt an approach that protects public space and environmentally-sensitive areas, and that provides land for planned urbanization;
- Plan at the scale of the problem, considering a city-wide approach;
- Ensure plans simultaneously define areas for regulation/consolidation, restructuring, and expansion;
- Plan incrementally, starting with the main streets and following with services.
- Plan strategically, considering environmental constraints and economic drivers;
- Plan for incremental phases of investment to supply sufficient land for streets and common spaces and for buildable blocks and plots;
- Plans should consider the local context, preferences, and traditions in terms of the formal and informal development of urban areas;
- Plans should support reasonable, sustainable, and incremental densities that enable cost-effective service provision and that capitalize on urban economies of scale;
- Plans should encourage mixed land use and social diversity, thereby increasing service efficiency and social integration;
- Plans should support the sustainable and efficient use of resources and ecosystems, in particular land and water;
- Plans should reduce the exposure of residents to the risks of climate change;
- Plans should coordinate with other administrative levels;
- Plans should coordinate, as much as possible, with interventions for the revitalization,

renewal, and density optimization of previously-built areas; and

- Plans should attempt to eradicate sub-standard conditions of built areas through a participatory process and aim for inclusiveness in the outcomes.

Urban design uses various tools to approach the fundamental elements that make up the second and third dimensions of cities. For example, assembly, disposal and allocation of land at suitable locations; strengthening sustainable urban growth and planned urbanization; and carefully considering the size and length of streets and public space layouts that, when combined with the size and shape of buildable private plots, will influence the shape and quality of the urban fabric and the built environment. These are further detailed by the enforcement of rules and regulations determining setbacks, floor area ratio, plot occupancy ratio, ground floor openings, street sections, buildable volumes, and so forth. Each of these choices can be drawn (e.g. designed) definitively as architectural and urban elements to be regulated by specifically-designed legal mechanisms. The link between regulations and urban design is vital to the final spatial outcome and is a critical condition for the value creation that is intrinsic to planned urbanization.

It is important to note that inconsistent regulations and/or the inability to enforce sound rules and regulations will adversely affect the ability of design solutions and design innovations to bring about sustainable urbanization outcomes. The 3PA assumes that regulations are informed by design solutions and vice-versa, thereby allowing for innovations that take into account the social, economic and financial impacts of design and planning solutions. In other words, an integrative approach opens up opportunities for deeper research into new design and planning solutions that are aligned with other dimensions, including regulations and financial feasibility.

### 6.3 Financial Plan<sup>40</sup>

The successful implementation of any urban initiative (e.g.: urban plans, public transport infrastructure, basic service infrastructure, city-wide slum upgrading) depends on the existence of a sound financial basis and the capacity to engage people and stakeholders in the search for economic feasibility, the financial means to sustain implementation, and institutional support and continuity. An economic and financial plan must contain a realistic income plan, identifying sources of revenue, a clear definition of the sharing of urban value between all stakeholders, and an expenditure plan to meet the conditions required for the realization of the plan.

The financial portion of the 3PA makes a distinction between economic and financial feasibility and the economic sustainability of the plan. In other words, it differentiates between the investment required for the implementation of the proposal in the short and medium term (e.g.: the plan, the project, or the policy) and the resources required to maintain the outcomes of the plan over time (e.g.: new urbanization areas, a revitalized urban zone, infrastructure and public utilities, etc.). Sustainable urban development and the proposals for planned urbanization outlined herein take into account both the funding requirements for implementation and those required for maintenance and operation.

Solid financial plans can be achieved through:

- Evidence-based spatial, legal, and financial proposals that build coherence among the legal, spatial, and financial plans;
- Recognizing the social and human capital, socio-economic conditions, and specificities of the population involved;
- Involving the various stakeholders and communities, with particular attention to the poor and underprivileged, to foster social inclusion;
- Understanding and adopting a planning process that is systemic and incremental;
- Building a solid, land-based finance strategy that takes into account the multiple attributes of land, including its fiscal, market value, and property rights dimensions;
- Designing alternative scenarios to address issues such as prioritization, public taxation, and public-private participation; and
- Paying attention to enforcement and implementation capacities, from the early planning stages to the outcomes, as well as to further maintenance and operation of the planning process and resulting development.

**The economic and financial feasibility of the 3PA** focuses on the investment required by the various stakeholders involved in the process of urban transformation. As previously mentioned, economic viability refers to the full implementation cycle of the plan, while economic feasibility considers the resources that are mobilized from various sources to enable implementation, including the capital gains generated by the plan in the post-implementation phase. Time and money are essential features in the 3PA, which considers short-term actions and medium and long-term financing strategies. This results in the diversification of funding and resources from public, private, and civil society. The breakdown of the main cost elements when defining the economic and financial viability of the plan are: diagnosis, planning and design, management, implementation and construction, and financial returns and fiscal outcomes.

**The economic and financial sustainability** of an urban plan has multiple objectives. It must safeguard funding to sustain operations and maintenance while critically assessing the capacity of public administrations to adequately maintain the outcomes of the project upon completion (e.g.: maintenance and cleansing of public spaces, maintenance and operation of infrastructure and public utilities, and the overall day-to-day operation of the project area). In many cases, sustainability will involve improvements in tax collection and urban management capacity in order to capture a portion of the resources generated from an increase in land and property values that result from public investment. A legal plan will outline the rules and regulations under which all these activities will be undertaken.

Planned urbanization, as advocated by UN-Habitat's Three-Pronged Approach, will create the basic conditions for sustainable urbanization and generation of wealth and prosperity for all. Legal, planning, and financial mechanisms must be in place in order to capture and redistribute increases in land value as a result of planned urbanization initiatives. The implementation

of land management tools and regulations, including land readjustment, land value capture, betterment taxes, transfer of development rights, and other instruments in various parts of the world, demonstrates the importance of land-based finance in the overall search for planned urbanization projects. Urbanization and, in particular, public investments in infrastructure, public space, and overall urban revitalization initiatives increase land and property values. Such increases produce wealth, which would benefit only private owners in cases where local and national governments do not have the tools to retain a portion of these gains and to, subsequently, reinvest the funds in the improvement of quality of life in the city as a whole. Land readjustment projects, which have been widely used in Japan, Korea, Germany, and lately in the Participatory and Inclusive Land Readjustment (PILaR), are good examples which demonstrate the relationship between rules and regulations, urban planning, negotiation between private owners and the public sector, self-financing strategies, and land market assessment. Land readjustment is a powerful tool which requires a strong, integrated approach to deliver buildable – although smaller – parcels by design, to guarantee a fair distribution of rights and duties, and to enable a participatory and inclusive urban development process. Rules and regulations, together with taxation mechanisms, will reinforce the transformative capacity of the public movement toward sustainable urbanization.

#### 6.4 How do These Three Components Interact with Each Other?

The 3PA considers multiple dimensions and disciplines interacting with each other through continuous feedback to identify problems and discuss solutions. It is not a linear process. The 3PA integrates and tests the design, financial, and legal plans, with adjustments made to identify the outcome that best integrates the three components in order to achieve the ultimate objectives

of planned urbanization. The objectives are defined at the beginning of the process and guide the implementation of the principles of sustainable urbanization for each specific situation.

*Example: Public Space Acquisition in Planned City Extension*

A main objective of planned city extensions is the assembly of land to guarantee control over the land stock to ensure that there is sufficient

land for planning the street networks and to provide adequate public space. Ensuring control over the land stock, either by direct, compulsory acquisition, land readjustment, or any other form that gives the government outright ownership of the land, is necessary to enable the public sector to plan and maintain public investments and apply value capture taxation tools on nearby land. In a simplified way, the application of the 3PA to deliver adequate public space can be described by the following infographic:

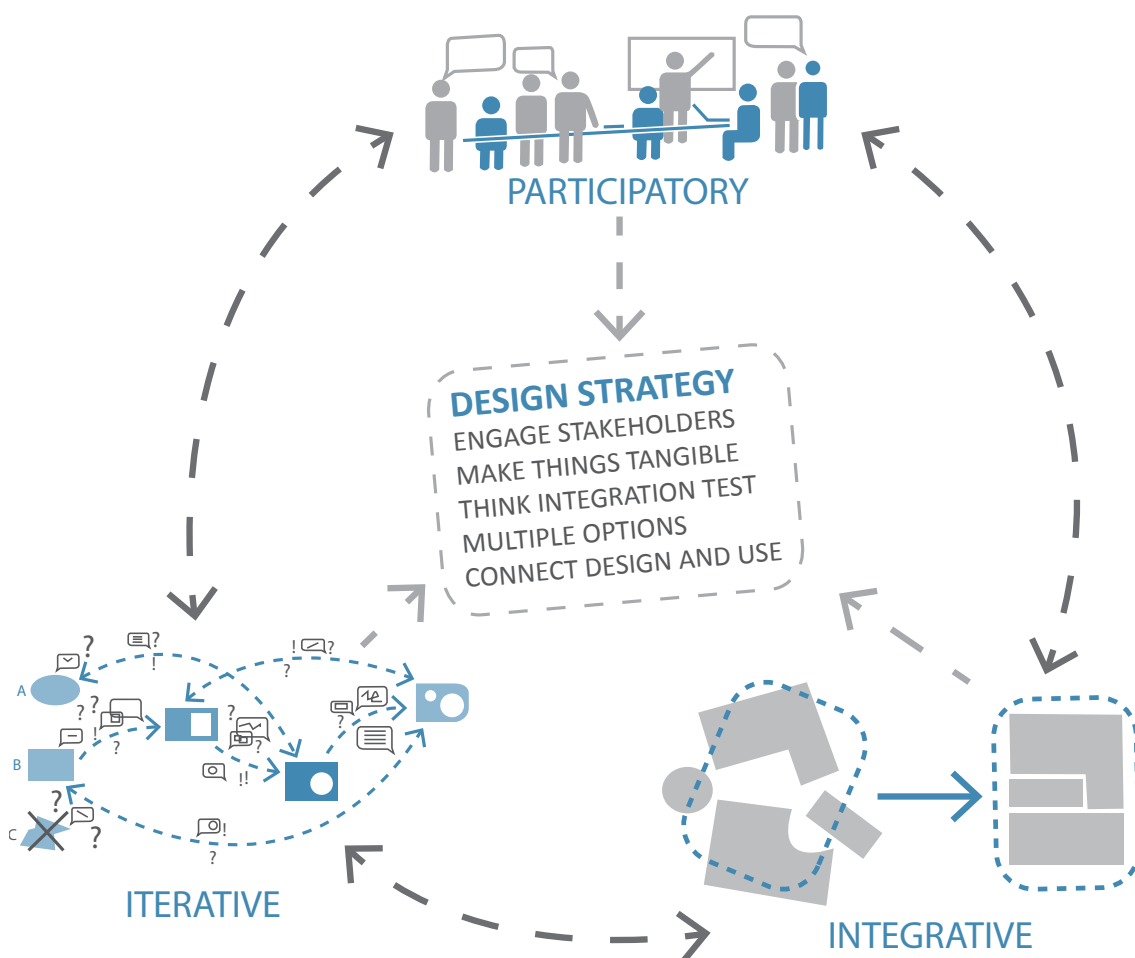


Figure 5. Public space definition by the 3PA embedded in broader process.

Source: “Atlas of Knowledge. Anyone Can Map.” Katy Börner

UN-Habitat recommends that at least 30% of land is allocated to streets and parking and at least 15-20% is allocated to open public spaces in planned city extensions. Research has shown that investment in the development and maintenance of public space is likely to have a multiplier effect and generate more resources, both for private owners and for the municipality.<sup>41</sup> Over time, the combination of public space design standards, innovative legal tools for land acquisition, and fiscal instruments to ensure an adequate revenue stream to manage them properly, has been proven to be useful in distributing costs and benefits of urbanization equitably.

In summary, in order to be able to implement planned city extensions, exercise a certain degree of control over the land stock, and develop well-designed and well-maintained streets and public spaces, city governments need a coherent legal framework, a set of clear design requirements for public and private space, and an institutional framework to facilitate clear and effective coordination of public policies. Additionally, city governments must have access to fiscal mechanisms to ensure adequate revenue generation and must adopt rules around access

to, and enjoyment of, public spaces that consider the different needs of the most vulnerable citizens.<sup>42</sup>

*Example: Land Acquisition and Readjustment in Planned City Infill.*

In cities experiencing rapid population growth and high levels of informality, slum formation, and inequality, public interventions in built-up and consolidated areas tend to be politically-sensitive and economically very costly for local administrations. Politically sensitive issues arise when urban regeneration, renewal, or upgrading initiatives result in forced evictions of the most vulnerable resident populations (gentrification). Similarly, these initiatives become economically-costly because of the high cost for the acquisition of urban land in central or consolidated areas. In response, UN-Habitat has adopted a global pilot initiative, Participatory and Inclusive Land Readjustment (PILaR), under the Achieving Sustainable Urban Development (ASUD) program. . This pilot experiment was designed and implemented in a small neighbourhood located in Medellin, Colombia, called La Candelaria.<sup>43</sup> The study area is an informal

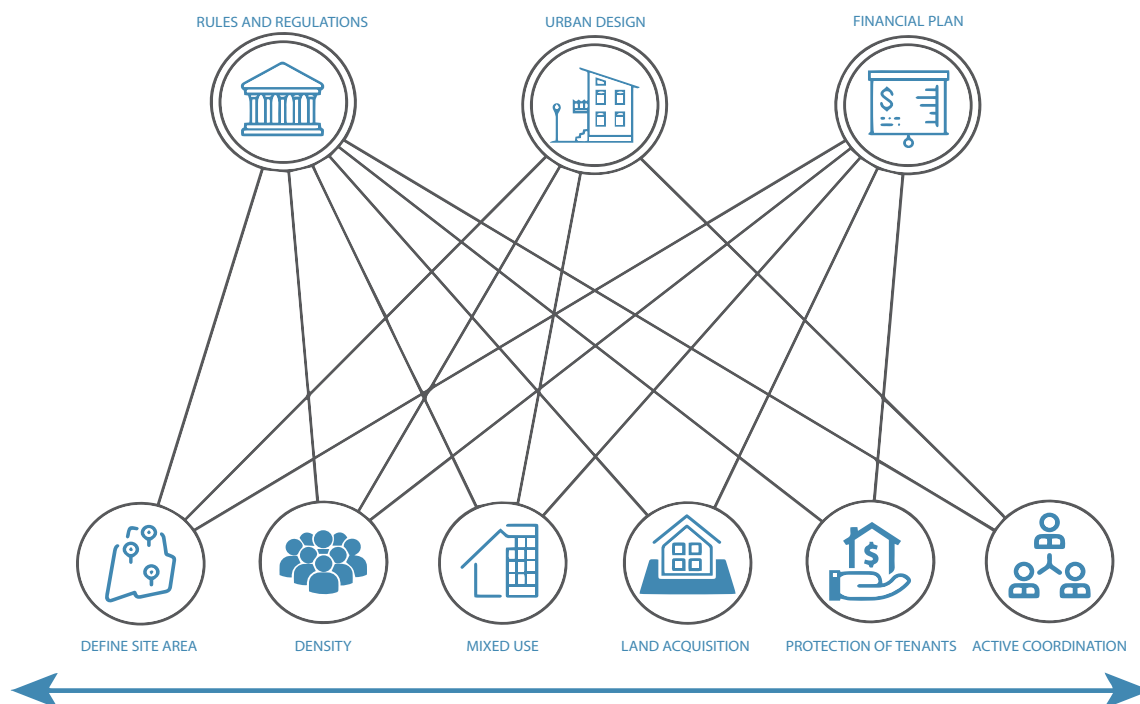


Figure 6. The process to define the proposal for La Candelaria in relation to the 3PA.

settlement where UN-Habitat sought to adopt a comprehensive and integrated alternative urban renewal strategy that was comprised of upgrading and regeneration activities with strong urban infill character. The project has generated increases in land value, from which the city wishes to recover its public investments, while preventing and remedying forced evictions of area residents.

The 3PA was used to guide the process to define an urban development proposal for La Candelaria that upgrades housing and public space conditions, develops housing tenure alternatives to avoid eviction of residents, improves job opportunities and access to public services, and is financially-feasible and sustainable. The following diagram illustrates the integration between the 3PA components necessary to achieve a sustainable renewal proposal for La Candelaria.

## 7 Integrating the 3PA in UN-Habitat Initiatives and Programs<sup>44</sup>

UN-Habitat is involved in numerous global and country-level activities and implements global programs in more than 60 countries around the world. The large quantity and variety of such programs illustrates the complex nature, in terms of scale and diversity, of the urban challenges faced by cities in the developing world. UN-Habitat's approach to promoted, planned urbanization through the 3PA is a response to these challenges. It advocates the need to strengthen and/or develop new approaches and products, including processes, practices, and capacities to achieve urban prosperity and wealth, and to improve the quality of life in cities, particularly for the poor and disadvantaged.

UN-Habitat is developing a systemic approach to foster integration between multiple disciplines. Applying the 3PA is intended to bring together urban planning and design, urban legislation,

and urban finance as a coherent response to planned urbanization and as the foundation for sustainable urban development. There are new tools, initiatives and programs that co-exist, but there is still a need to foster higher degrees of collaborative information-sharing between units and branches, as well as with ongoing programs and projects in different phases, including diagnosis, design, management, implementation, evaluation, and impact assessment. As a result, UN-Habitat has developed two "Toolkits" to promote planned urbanization: the Basic Toolkit and the Extended Toolkit.

### 7.1 The Basic Toolkit - Analysis and Prospective

The Basic Toolkit includes a number of tools for rapid analysis and assessment to support proposals for planned urbanization. It aims to demonstrate the potential and benefits of sustainable urbanization as a means of achieving prosperity and wealth.

The main goals of this Toolkit are:<sup>45</sup>

- Systematization of the UN-Habitat approach to planned urbanization and its contributions to the New Urban Agenda and sustainable urban development;
- Dissemination of UN-Habitat approach and principles for evidence-based, planned urbanization;
- Engage cities in the promotion and implementation of the New Urban Agenda with UN-Habitat's support; and
- Explore and establish long-term engagement between UN-Habitat and governments and municipalities by providing sustained technical and strategic assistance.

The main components of the Basic Toolkit are:

- The City Prosperity Initiative (Basic, Extended, and Contextual CPI) which

produces the metrics and evidence related to the impacts and/or shortcomings of public policies in the six dimensions of prosperity. The CPI helps identify focus areas for public policy interventions and action planning; and

- The Rapid Planning Studio (RPS), which applies the 3PA to promote planned urbanization and which incorporates specific assessment tools. It applies the 3PA to urban planning, design, legislation, and urban finance.

The Basic Toolkit enables cities to assess their specific situation – problems, challenges, strengths, weaknesses, threats, and opportunities – and to make decisions that shift development trends toward planned urbanization and improvements in the quality of life for all. The main outcomes of this Toolkit are: diagnosis at different scales and with different levels of detail; proto-design solutions and draft spatial and planning proposals; and the basic elements of an implementation roadmap.

### 7.1.1 City Prosperity Initiative<sup>46</sup>

The City Prosperity Initiative (CPI) is both a

metric and a policy dialogue, which offers cities from developed and developing countries the possibility to create indicators and baseline information for evidence-based and well-informed decision making. It is also a global monitoring mechanism, adaptable to national and local levels, which can provide a general framework to allow cities, countries, and the international community to measure progress and identify existing constraints.

City authorities, as well as local and national stakeholders, can use the CPI to identify opportunities and potential areas of intervention for their cities to become more prosperous. Its composite index is comprised of six dimensions: (1) Productivity, (2) Infrastructure Development, (3) Quality of Life, (4) Equity and Social Inclusion, (5) Environmental Sustainability, and (6) Urban Governance. It serves to define targets and goals that can support the formulation of evidence-based policies, including the definition of city-visions and long-term plans that are both ambitious and measurable.

The CPI is developed at different scales:

BASIC GLOBAL CPI	EXTENDED CPI	CONTEXTUAL CPI
<p>Global patterns of development</p> <p>Mandate monitoring indicators</p> <p>Benchmarking/Patterns</p> <p>To identify cities that perform well and cities that don't</p> <p>Inform and reinforce arguments for decision-making at the political level</p>	<p>Focused at the city level</p> <p>Deeper understanding of specific trends</p> <p>Comparable regional or national level</p> <p>To identify deficits, specific problems, or needs for policies and actions</p>	<p>At sub-city level</p> <p>Disclose inefficiencies and inequalities</p> <p>Policy/Action/Project-oriented</p> <p>To support analysis and diagnosis</p> <p>To reinforce good urbanization and action</p> <p>To evaluate and monitor impact</p>

### The Contextual CPI

Data and metrics enable cities to make well-informed decisions on the best policies to adopt and assist in tracking changes while systematically documenting their performance at the outcome level. The Contextual CPI (C-CPI), developed at the sub-city level, builds on the prevailing conditions of an urban area at any time. It is a powerful tool to comprehensively detail, document, and monitor the impact of local urban policies and projects according to the following objectives:

- The C-CPI creates references within the city and:
  - Identifies areas of a city that perform well as an example of planned urbanization within the same city;
  - Compares different areas within a city according to local standards; and
  - Illustrates the inefficiencies of the urban area for which the proposal is being developed, in comparison to other areas.
- The C-CPI supports and reinforces political decision-making and:
  - Evaluates impact based on the proposal (before implementation); and
  - Examines the impact of a proposal based on the results of a cost-benefit analysis.
- The C-CPI supports monitoring throughout the implementation process and:
  - Evaluates and systematizes lessons learned (retrofit the proposal/learning by doing);
  - Adjusts a proposal as it is being implemented; and
  - Brings transparency and accountability to the implementation process.

### 7.1.2 Rapid Planning Studio<sup>47</sup>

The Rapid Planning Studio (RPS) is a three-day simulation of a full, 18-32 month, planning process. Each of the planning steps are addressed and discussed, from initial assessment to plan implementation. The outcome of each integrated exercise forms the basis for the next exercise and planning step. The RPS does not produce 'correct' plans, but rather gives participating municipalities an overview of adequate planning processes, allowing them to identify gaps and challenges in their existing planning system. Upon completion of the RPS, participants develop full awareness of, and access to, optional tools to further apply the full planned urbanization methodology and develop a final plan.<sup>48</sup>

The RPS enables the development of a proto-design, which is a preliminary version of a vision plan. It also facilitates a process through which concerns about the future can be framed and solutions can be discussed and, eventually, owned by local stakeholders.

The RPS draws on established planning approaches and principles, including the International Guidelines for Urban and Territorial Development (IGUTP), and Urban Planning for City Leaders, among others. The RPS Framework allows for detailed discussion of the components of planned urbanization, such as street layout, plotting, density, mixed-uses, percentage of land allocated to streets, street connectivity, accessibility to public space, as well as the consequences of different alternatives in terms of their interaction with the regulatory, urban design, and financial considerations necessary to implement them. In this regard, the RPS enables the integration of the 3PA with other UN-Habitat tools, including the Financial Assessment Tool, the Legal Assessment Framework (LAF), the City Prosperity Initiative (CPI), the Street Connectivity Index (SCI), the Population and Area Projection Tool, and the Plan Benchmarking System.<sup>49</sup>

In cities where one of the above assessment tools has been employed, the RPS makes use of, and benefits from, the data gathered. In turn, RPS presentations outline and explain the value of using UN-Habitat initiatives, programs, and tools in a complete planning process.

## 7.2 The Extended Toolkit: Long-term Technical Assistance and Policy Assessment.

The Basic Toolkit is based on short-term, intensive work, while the initiatives, programs and tools in the Extended Toolkit are long-term and require sustained work and stronger engagement with local, regional, and national authorities.

The main goals of the activities included in the Extended Toolkit are:

- Full technical assistance with respect to the planning and implementation of initiatives geared toward planned urbanization. These include regulation and consolidation, urban renewal (Planned City Infill and Participatory Slum Upgrading), and city growth (Planned City Expansion);
- Promoting innovative approaches that are integrated, participatory, and inclusive, as opposed to traditional planning practices;
- Engaging cities in the promotion and implementation of the New Urban Agenda and sustainable urbanization; and
- Consolidating knowledge and evidence relating to the impact of projects that have employed planned urbanization approaches, and in particular the Three-Pronged Approach to

sustainable urbanization.

As previously mentioned, the Extended Toolkit is comprised of numerous tools, including Planned City Extensions, Planned City Infill, Participatory Slum Upgrading Program, Participatory and Inclusive Land Readjustment, and others. The Toolkit forms the basis of the Rapid Planning Studio and employs the 3PA to integrate all related dimensions and disciplines into the development of urban solutions and plans, including but not limited to:

- Participation and integration of main stakeholders, with special attention to the more vulnerable communities;
- Analysis and diagnosis at all levels, including social, physical, environmental, and economic characteristics, as well as legislative, governance, and financial performance and capacity;
- Design of solutions at the appropriate scale; and
- Implementation of a roadmap outlining concrete actions and real impacts on the ground.

The experience and knowledge acquired, as well as lessons learned from the process of using the Basic Toolkit, will be incorporated through adjustments and refinements made to its various elements. One of the most relevant outcomes from the practical experience of employing the Basic and Extended Toolkits is to identify changes and adjustments that are required for greater efficiency in responding to national, regional, and local policies, as well as institutional structures and legal frameworks needed to facilitate implementation on the ground.

## Endnotes

1. "Prosperity, as defined by Un-Habitat, is a social construct that materializes in the realm of human actions. It builds deliberately and conscientiously on the objective

conditions prevailing in a city at any time, wherever located and however large or small." "Prosperity implies success, wealth, thriving conditions, and well-being, as well as confidence and opportunity." (UN-Habitat, *State of the World's Cities 2012/2013*, 10-11)

2. UN-DESA, 2014
3. City or town refers to a population centre organized by a set of streets and buildings, equipped with basic urban services and administrative structures, which constitute the economic and cultural centre of a region. (Topalov and others 2010)
4. Mumford 1938, p. 492
5. “Effective urban planning and management has been perceived by local experts surveyed by UN-Habitat as the most important factor behind a favourable environment for urban prosperity” (UN-Habitat, *State of the World’s Cities 2012/2013*). Other sources have argued in the same direction, including the Global Assessment Report (United Nations, 2009), the Sendai Framework for Action (2015) and the “Global Risk Landscape” (WEF 2015).
6. Many publications can be referenced to show the “collateral effects of current trends of urbanization.”
7. Wehrmann 2016, p. 11
8. UN-Habitat Urban Statistics 2015
9. Examples are described by Sanders, Doug (2010). *Arrival City* (Toronto: Knopf Canada).
10. Argued by Poor Economics: A Radical Rethinking of the Way to Fight Global Poverty by Abhijit V. Banerjee, Esther Duflo, MIT Press.(2011), World Bank Urbanization and Growth. Commission on Growth and Development. (Preface).
11. Bourdic and Kamiya 2016
12. Integrity refers to the adherence to moral and ethical principles.
13. UN-Habitat *International Guidelines on Urban and Territorial Planning* 2015
14. United Nations Conference on Human Settlements 1996
15. United Nations Sustainable Development Goal 11
16. « What is the new urban agenda? » *The New Urban Agenda will be the outcome document agreed upon at the Habitat III Conference, The United Nations Conference on Housing and Sustainable Urban Development, in October 2016. It will guide the efforts around urbanization of a wide range of actors — nation states, city and regional leaders, international development funders, United Nations programmes and civil society — for the next 20 years... this agenda will also lay the groundwork for policies and approaches that will extend, and impact, far into the future.* <http://citiscopes.org/habitatIII/explainer/2015/06/what-new-urban-agenda>. April 2016.
17. Wehrmann 2016, p.?, and, for further information on vacant housing, Moreno and Gonzalez 2014 and Wehrmann 2016.
18. World Bank Urbanization and Growth. Commission on Growth and Development. (Preface Urbanization and Growth 2009)
19. In *Arrival City* (2010), Doug Sanders details 30 cities and villages on the five continents, showing how improvements to urban conditions in the peripheries have a direct impact on people’s life performance. In other words, how urbanization can have real, transformative effects and brings prosperity.
20. In paragraph 6 of Resolution 25/4, implementation of the Strategic Plan for 2014–2019, Member States gave the following direction: *Further requests the Executive Director to continue to support national and local governments in the development of functionally-effective legal and institutional frameworks to facilitate sustainable urbanization and human settlement development that provide for long-term objectives, are non-discriminatory and inclusive, and provide the most efficient and locally-relevant solutions possible, and encourages Member States to consider, as appropriate, the development of an effective policy framework around sustainable urbanization and human settlements.*
21. Integrate: to blend into a functioning and unified whole.
22. Sustainable urbanization is concerned with the liveability of cities and towns. In this regard, proximity, density, social cohesion, and accessibility refer to conditions which facilitate an urban area to deliver more effective and efficient opportunities and services. For example, proximity and accessibility to job opportunities and labour markets, and to public and basic services, require a minimum density to deliver, in a cost-effective way, adequate housing and basic services. Social cohesion brings security and reduces uncertainty for either private or public investment (e.g.: upgrade or buy a house, open or enlarge any type of businesses and investment in public

- infrastructure, etc.).
23. UN-Habitat *Global Report on Human Settlement* 2009, p. 212
  24. Cohen and others, *Participatory, planning, management and governance*. MTSIP. 2009. In the original text, urban solutions stands for urban planning.
  25. Ibid. p. 20.
  26. "For, almost since they came into being, cities and city-dwellers have been obligated to innovate in yet another way. (...) So a very important part of living, and the creativity that comes out of it, has consisted in finding solutions to the city's own problems of order and organization" (Hall 1998, p. 5).
  27. UN-Habitat *MTSIP Focus Area 2: Participatory Planning, Management and Governance* 2009
  28. The words cross-scale and cross-discipline are used instead of other options and like multi-scale or multi-discipline because it's not about the addition of layers, but is about involving a reciprocal action and interchange between scales and disciplines in a non-linear or ordered way.
  29. Other agencies in the international community include NGOs, civil organizations, etc.
  30. UN-Habitat *MTSIP Focus Area 2: Participatory Planning, Management and Governance* 2009
  31. Sine-qua-non refers to something absolutely indispensable or essential
  32. UN-Habitat *MTSIP Focus Area 2: Participatory Planning, Management and Governance* 2009
  33. The content of this section is based on Crispi 2015
  34. Also reliable, intelligent, essential, and implementable in its context.
  35. World Bank *Urbanization and Growth* 2009
  36. Wehrmann 2016 p. 5
  37. UN-Habitat *Housing at the Center of the New Urban Agenda* 2015
  38. UN-Habitat *Streets and Tools for Urban Transformation* 2014
  39. UN-Habitat *Adopting Progressive and Equitable Basic Urban Extension Plans* 2013
  40. The content of this section is based on: UN-HABITAT *The Economic and Financial Feasibility of Urban Planning* 2015; HABITAT III *Municipal Finance* 2015; and Urban Morphology Institute/UN-HABITAT *The Economics of the "Three-Pronged Approach"* 2016
  41. Crispi 2007 p.12.
  42. Ibid. p.17.
  43. La Candelaria is a small area consisting of 5.8 hectares of land located on both sides of the La Quintana River, one of the major river systems in the northwest area of the city, and one which flows into the Medellín River. Despite its strategic location in the city, La Candelaria has become an insular site plagued by environmental degradation due to its current physical configuration.
  44. This chapter does not aim to provide a comprehensive understanding of all the programs, initiatives, and tools that currently exist in UN-Habitat and that have worked for many years. The intent of this chapter, accepting its limitations, is to explore how the 3PA can help to better focus resources and improve the delivery and overall impact of technical support for cities to journey toward sustainable development.
  45. From the presentation of Rapid Planning Studio by Thomas Stellmach. The same logic is used for the Extended Toolkit.
  46. UN-Habitat 2014. "City Prosperity Initiative" (first draft) Nairobi, Kenya
  47. This section is a summary of different materials elaborated on by Thomas Stellmach during a presentation on the Rapid Planning Studio. The RPS was originally piloted in Kisumu, Kenya in February 2012 and, since then, it has been held in nine other Kenyan towns as well as in Rwanda, Ethiopia, Mozambique, Malaysia, and the Philippines.
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