UN HABITAT
Capacity Development Unit
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Capacity Building is at the heart of UN-HABITAT’s global activities

“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”

a position paper . UN Habitat Capacity Development Unit . 2017
PRACTICAL GUIDE TO THE FUNDAMENTALS OF URBANIZATION: A TRAINING COMPANION
ON THE IMPLEMENTATION OF THE PRINCIPLES OF PLANNED URBANIZATION

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1 INTRODUCTION TO THE TRAINING COMPANION

This training companion on the Fundamentals of Urbanization supports UN Habitat’s efforts to develop human resources and institutional capacity for the implementation of the New Urban Agenda, Sustainable Development Goal (11) and promotes a paradigm shift towards sustainable urbanization. This companion is the tool to deliver training on the “Implementation of the principles of Planned Urbanization” and is accompanied by presentations, interactive exercises, case studies, and opportunities for peer-to-peer exchange. The companion includes eight modules to be conducted in a five-day training. Depending on interest and time available, the training can be made more specific and shorter (see 1.4.1).

1.1 INTRODUCTION TO FUNDAMENTALS OF URBANIZATION

Cities today 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 to 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.

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 Sustainable Development Goal (SDG): 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 the global standards of achievement in sustainable urban development, rethinking the way we build, manage, and live in cities through drawing together cooperation with committed partners, relevant stakeholders, and 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 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.) the financial plan to mobilize resources for its realization.
This urban planning practice is referred to as the Three-Pronged Approach (3PA). This planned approach ideally results in a clear business plan, strong planning capacity and a sound regulatory regime. The 3PA not only promotes a cross-sectoral approach, delivery focused partnerships and streamlined procedures, but also advocates a participatory and inclusive planning process.

One of the tools that can help implement the 3PA 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. The CPI can help to 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 5 reasons for lack of sustainable urban development. Cities do not have the skills or adequate 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. Cities lack the baseline data and clear indicators to track progress. In order to advocate a planned approach to urbanization, UN Habitat intends to use the 3PA and the CPI methodology as a framework to help develop human resources and institutional capacity, enhance knowledge and skills at the national and local levels.

This training companion on the Fundamentals of Urbanization incorporates the 3PA and CPI and supports Habitat’s efforts to develop human resources and institutional capacity for the implementation of the New Urban Agenda, SDG11 and promotes a paradigm shift in addressing urbanization challenges in the developing world. The companion promotes a culture of multi-disciplinary approaches to addressing urbanization challenges, and facilitates making use of UN-Habitat tools to fulfil cities’ own development commitments. The companion introduces the 3PA and CPI concepts, provides methodologies for addressing specific planning topics, and includes case studies that illustrate the applicability of these approaches.

“The City of the 21st Century values urbanization and agglomeration economies, and prioritizes integrated public transport systems, walkability, green areas and efficient use of energy. This city is generally more compact and is characterized by multifunctional use of space, where zoning is kept to the minimum”

Joan Clos, United Nations Under-Secretary General and Executive Director of UN-Habitat

1.2 TRAINING OBJECTIVES

The overall goal of this training is to mobilize decision makers and practitioners in implementing the New Urban Agenda & SDG11. The training aim is two-fold:

(i) 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 rules and regulations, urban planning and design and urban finance or the ‘Three-Pronged Approach’ (3PA).

(ii) to raise awareness on the importance of evidence-based and data-driven integrated urban management and urban planning practice, as practiced by the City Prosperity Index (CPI)

Holistically, the training companion modules focus on different approaches to planned urbanization aiming to reach the goals of SDG11, the New Urban Agenda, and the Fundamentals of Urbanization, with different objectives for different target audiences:

(i) Objective day one
The objective of the first day of the training is to serve as a ‘call to action’ and motivate elected officials, planners, and technical staff toward a more integrated and coordinated approach to addressing urban challenges. Day one aims to develop and improve participant’s understanding of the current state of our cities, and gain a general knowledge about existing global agreements addressing urban challenges. It serves as an urgent call to action for a more coordinated and integrated approach to urban planning, and participants will discuss the need for evidence-based policies, to ensure citizens’ wellbeing and fulfilment of human rights in urban areas.

(ii) Objective days two-five
This second part of the training builds on the ‘Call to Action’ (day one) modules and focuses on specific planning topics. The objective of this part of the training is to provide practical insights and hands-on learning around topical areas. It includes practical thinking on how to apply the 3PA to key urban topics (Planned City Extensions, Housing, Mobility, Slum Upgrading and Climate Change) and on the role of evidence based and data-driven policy making as proposed by the CPI. After the course, participants will have gained new insight on how to approach planning challenges from a 3PA perspective that builds on evidence and understanding of city dynamics.

1.3 TARGET AUDIENCE

This training has been developed for two specific audiences.

(i) The first audience includes mayors, senior officials and decision-makers. This audience will take a particular interest in Module 1-3 of the training that introduces integration of the three components of the 3PA as well as CPI tools available to monitor and implement the principles of planned sustainable urbanization:

(ii) The second audience includes senior and technical municipal staff from planning, budgeting and economy, legal and regulatory, public works and related departments from municipalities and non-governmental organizations that deal directly with urbanization. Ideally, training participants will represent staff from the three departments that represent the 3PA: legal, financial and planning. This group will partake in all training modules 1-8.

To recap, both audiences (A&B) will receive the day one training ‘Call to Action’ modules, which introduce the Fundamentals of Urbanization, worldwide urban agreements, 3PA, and CPI. The intent is to instil a sense of urgency for better-planned urbanization. Group B (technical staff) will then focus on more in-depth urban planning topic modules during days two through five.
1.4 OVERALL CONCEPT & METHODOLOGY

1.4.1 MODULE DESIGN

Tailor-made training design with flexible modules
The training is divided into a series of eight individual topical modules. The modules are designed as a complimentary sequential fit for a one-week training. But modules 4-8 can also be used as stand-alone modules, giving the trainer the flexibility to choose and select, depending on the interest of the participants and time available. Each module contains interactive dialogue, multi-media lectures, case studies and hands-on exercises complement the training experience.

• Module 1-3: introductory ‘Call to Action’
  In the first three modules, participants are provided foundational information on current state of urbanization and transformative potential of urbanization provided that it is well planned and managed. Participants will gain a clear understanding of the principles of planned urbanization, integrating rules and regulations, urban planning and design and urban finance. These modules will serve as a ‘call to action’ and demonstrate concrete measures cities can take to better plan for their futures.

• Module 4-8: practical planning and thinking how to apply the 3PA and CPI at local level
  The next five modules cover specific planning topics: planned city extension, housing at the center, urban mobility, slum upgrading, and climate change. These modules will dive deeper into specific urban planning issues and provide insight on how the 3PA and CPI can be utilized in planning practice.

How to pick and choose modules?
All modules contain insights on how to apply the three elements of the 3PA (rules and regulations; urban planning and design; and urban finance) in its specific topic. In other words, the slum-upgrading module does not focus solely on the spatial element, but includes thoughts on how to integrate rules and regulations, urban finance and urban design to come up with an effective approach to urban slums. Each module includes cases studies, discussion questions and practical exercises. Additionally, participants can deliver their own case study presentation on a current urban planning policy or initiative, from their respective cities to promote peer-to-peer learning.

It is up to the discretion of each trainer to select which materials to utilize depending on the amount of time allotted for each training, and level of comfort on the subject matters. For example, presentation slides, videos, or discussion questions can be omitted in the case of time constraints. If the trainer is less comfortable with a subject matter, then there are optional video presentations available throughout the modules. Furthermore, entire modules can be completely omitted or expanded to full day sessions, depending on participant interests and the number of days available for the complete training.

1.4.2 TRAINING STRUCTURE
The full training is intended to last five working days, between 9:00 AM and 5:00 PM. The first day, will be used to introduce the topic and participants, continuing to provide an ‘Introduction to the Fundamentals of Urbanization’ and serve as a ‘Call to action’. This day will include Modules 1-3.

GENERAL MODULE OUTLINE
1. Discussion Questions or Kahoot! Quiz
2. Presentation of topic
3. Video presentations
4. Introduction of case study
5. Participatory exercise
6. Conclusion & group discussion
Days 2-5: will provide participants with knowledge, case studies, group discussions and exercises on five specific urban planning topics (planned city extension, housing at the center, urban mobility, slum upgrading, and climate change). Each day will cover two topics in ½ day sessions (with the exception of Slum upgrading which is one full day). Additionally, participants will deliver a case study presentation from their respective cities over the course of ½ a day.

1.4.3 TRAINERS / FACILITATORS
For the successful delivery of this training, the following combination of facilitators is optimal:

- A moderator familiar with UN-Habitat principles and local context
- A rapporteur for documenting process and outcomes
- A local coordinator responsible for course logistics
- UN-Habitat staff from Capacity Development or other units (optional)
- A higher-level UN-Habitat representative (optional)

1.4.4 PARTICIPANTS AT THE CENTER
Participants are at the center of this training. Each of the modules include participant-led discussions on addressing implementation challenges in their own cities. During day two of the program, each of the represented cities will present a case study. The case selected should be directly related to the participants’ work, his/her organization, and preferably situated in the city where he/she works. It could be a project, a program, or a policy and should be directly related to one or more of the themes of the training program. It should highlight the importance of data, information and knowledge for the planning, management and implementation of urban development plans (see Annex 2 for case study format). During the remainder of the program many discussion questions will relate back to their case study and/or their city.

1.4.5 WHEN CONDUCTING THE TRAINING
It is encouraged to create an inclusive training environment:

- Allow participants to introduce themselves – you can even set up an icebreaker to have pairs of students introduce each other.
- Be clear up front about expectations and intentions amongst participants and the facilitator.
- Use inclusive language.
- Ask for clarification if unclear about a participant's intent or question.
- Treat participants with respect and consideration.
- Develop awareness for barriers for learning (cultural; social; experiential, etc.).
- Provide sufficient time and space for participants to gather their thoughts and contribute to discussions.
- Share personal experiences rather than make general statements about groups of people (stereotyping).
- Ask dominant participants to allow others to speak.
- Give all participants a voice- at the start highlight the value of a diversity of perspectives as an essential part of the process.
- Go over constructive and destructive group behaviors at the start of the course / workshop.
- Request that if participants challenge others’ ideas, they back it up with evidence, appropriate experiences, and/or appropriate logic.

Be Prepared:

- Always begin each day on time.
• Before the start of each day make sure the internet connection is working properly, hand-outs and material are prepared and distributed accordingly, and all presentations are pre-loaded onto the computer (including case study presentations, when applicable).
• Make sure the Kahoot! quiz questions are prepared and ready to go.
• Request that one participant give a brief recap from the previous day.
• Review learning objectives with the group at the beginning of each day.

General Facilitation Tips:
• When energy levels get low consider changing the activity, change participant roles, or facilitate some conversation around the topic.
• Participant’s communication styles may vary, along with their quality and quantity of verbal contributions. Draw out the quieter participants during small group work. Try establishing their opinion, once the topic has been initially debated. In addition, consider allocating different roles to the high frequency or noisy contributors such as note taker. Ensure the group exercises have a balance of participants with different communication styles.
• The facilitation style needs to meet the needs of the group at different stages of the training as well as professional levels. For example, a directive style of facilitation works well at the beginning of a meeting. This is because participants typically prefer someone to initially take charge and take them in the right direction – particularly in new group meetings. However, after time when the group has settled down working effectively together, a more suggestive or consultative facilitation style would be more appropriate.
• Asking follow-up questions, and paraphrasing the comments for everyone to ponder. A combination of initiating and probing questions can be an effective approach to bring out participants’ ideas further.
• To facilitate effectively, the facilitator needs to focus all of their energy and commitment to the group. In addition, they need to help the group in the most appropriate and relevant way. This could involve challenging some of the group thinking, or what is not being said through supportive questioning.
• The most effective facilitator is one who quickly establishes and builds trust with the group, through their honesty and transparency in their communications. Importantly, they don’t necessarily have the answer for the group they are facilitating, but they hold the belief that the answer lies within the group (or their network).

1.4.6 HOW TO USE Kahoot! DISCUSSION QUIZ
For module 1 (state of urbanization) and module 5 (Housing at the Centre), an online quiz will be given to participants to help facilitate introductory dialogue around each topic, and to find out a bit more about the course participants and their cities. This interactive technology provides a neutral platform in which to garner valuable feedback and input from all training participants. The technology is important method for strengthening participant interaction and capturing information. Participants will need to have a web-enabled device (phone, computer, tablet) in order to participate in the quiz. There may be cases, where participants don’t have internet access or web-based devices, and therefore, it would be best for the trainer to facilitate a group discussion on these questions from PowerPoint slides rather than utilize the Kahoot! technology. It is recommended that the trainer ask participants during the introductory session, how many have brought web-based devices to best determine the appropriate course of action.

Kahoot! Instructions for Trainer:
Following the simple steps below to set up your Kahoot! Session.
   • Step 1: Connect your computer/mobile device to a projector screen.
   • Step 2: Log in to create.kahoot.it
Step 3: click My Kahoots from the top menu bar
Step 4: Find the corresponding module and click “Play” and choose “Classic” play mode
Step 5: You’ll see a Game Pin. Leave this page open and have the participants follow the instructions on their own devices. As they join, you’ll see their nicknames appear on your screen. Click ‘Start’ once everyone’s joined.
Step 6: Now that the kahoot has started, a question will appear on your screen with answer options. Participants review the content on your screen and choose a box on their screen that corresponds with one of the answers. You can wait until everyone answers or the timer gets to 0, or you can click ‘Skip’ to move on (answers submitted beforehand will still count).
Step 7: Use the ‘Next’ button to move through results screens and get to the next question. Once all questions have been answered, you’ll be able to collect feedback on the kahoot from the participants and download results.

Kahoot! Instructions for Participants:
Step 1: Enter the site http://kahoot.it with your mobile device
Step 2: Enter the game pin given by the trainer, then enter your name
Step 3: The trainer will wait for everyone to join to start the quiz. Questions will be displayed on the screen and you can give your answers by choosing a box on your screen.

1.4.7 PRE-TRAINING ACTIVITIES
This companion should be used a general framework for a successful training on the Fundamentals of Urbanization. To the greatest extent possible, the trainer should collect information on each of the participants prior to each training, to gain a general understanding of who will be attending, to identify knowledge gaps, learning goals, and to better focus each of the training modules to the target audience. It is imperative to know your audience. For example: are they primarily entry, mid-level or senior staff? Is the expertise primarily in urban design, finance, or regulation? Is there a particular module they are more interested in than others? What types of cities do they represent? Surveys can be collected via email or using free online surveying technology such as surveymonkey.com. Participants should be provided a complete agenda, venue details and logistics, suggested reading lists, a rooster of other participants, case study guidelines and other materials participants need to prepare in advance, in ample time prior to the training (a minimum of two weeks is suggested). It is imperative that trainees feel well prepared in advance, and are provided sufficient background information so they fully know what to expect of the training itself.
# FUNDAMENTALS OF URBANIZATION TRAINING AGENDA

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<td>9:00 - 10:30</td>
<td>Session 1</td>
<td>Welcome, Introductions, &amp; Who is in the Room?</td>
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<td>Session 2</td>
<td>Module One: The State of Urbanization in the World: Action for cities</td>
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<td>Module Two: Global agreements on Urbanization</td>
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<td>Session 4</td>
<td>Module Three: The Fundamentals of Planned Urbanization for Attaining Sustainable Development</td>
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<td>10:30 - 11:00</td>
<td>Break</td>
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</tr>
<tr>
<td>11:00 - 12:30</td>
<td>Session 10</td>
<td>Module Eight: Climate Change</td>
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<tr>
<td>12:30 - 13:30</td>
<td>Lunch</td>
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<tr>
<td>13:30 - 15:00</td>
<td>Session 11</td>
<td>Lessons learned &amp; Course Evaluation –</td>
</tr>
<tr>
<td>15:00 - 15:30</td>
<td>Break</td>
<td></td>
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<tr>
<td>15:30 - 17:00</td>
<td>Session 11</td>
<td>Lessons learned &amp; Course Evaluation –</td>
</tr>
</tbody>
</table>
### 2.1 COURSE OUTLINE

#### DAY ONE: WELCOME & THE STATE OF OUR CITIES

<table>
<thead>
<tr>
<th>SESSION 1</th>
<th>DURATION</th>
<th>CONTENTS</th>
<th>OBJECTIVES</th>
<th>TRAINING ACTIVITIES</th>
<th>REFERENCE MATERIALS</th>
</tr>
</thead>
</table>
| Welcome, Introductions, & Who is in the Room? | 90 minutes | - To welcome participants  
- To allow participants to introduce themselves, and provide an overview of their city  
- To review the training agenda and venue logistics  
- To come to an understanding of the expectations of participants  
- To introduce the background, objectives, content and schedule of the training and the methodology employed during the course  
- To provide a welcome speech/ ceremony from host (if applicable)  
- To provide participants with hand-outs  
- To find out more about participants and their cities | - To welcome participants  
- Introductions and hear expectations from participants  
- Clearly communicate the course, objectives, methodology  
- Provide a welcome from host organization  
- To learn basic information about participants and their respective cities | - Introduction presentation  
- Interactive dialogue  
- Ice breaker exercise | - Introduction presentation  
- Course hand-outs  
- Training Program/Agenda |

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<thead>
<tr>
<th>SESSION 2</th>
<th>DURATION</th>
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<th>OBJECTIVES</th>
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<th>REFERENCE MATERIALS</th>
</tr>
</thead>
</table>
| Module 1: The State of Urbanization in the World: Action for Cities | 90 minutes | - Overview of current trends impacting cities today  
- Summary of the current state of cities and why planning is in decline  
- Video: Paper City (3:21)  
- A call to action for better planned urbanization  
- Introduce the Fundamentals of Urbanization publication and how planning is in decline  
- City Self-Assessment- exercise | - To build an understanding that planning is currently in decline, and that there is an urgent need for planned  
- To sound a 'call to action' for more sustainable development  
- To assess the current state of planning in participant cities in comparison to findings from the “Fundamentals of Urbanization” | - Module 1: Presentation  
- Video presentation  
- Group exercise  
- Interactive dialogue  
- Kahoot! quiz | - Module 1: Presentation  
- Video presentation  
- Exercise 1 hand-outs  
- Kahoot! Quiz Introduction |
## DAY ONE

### DAY ONE: WELCOME & THE STATE OF OUR CITIES

<table>
<thead>
<tr>
<th>SESSION 3</th>
<th>DURATION</th>
<th>CONTENTS</th>
<th>OBJECTIVES</th>
<th>TRAINING ACTIVITIES</th>
<th>REFERENCE MATERIALS</th>
</tr>
</thead>
</table>
| Module 2: Global agreements on Urbanization | 90 minutes | • Video: The Future Is Now (4:22)  
• Comprehensive overview of International Urban Agreements pertaining to cities:  
  - Sustainable Development Goals  
  - Video: SDG’s Explained (2:34)  
  - SDG Exercise - Comparing your master plan to the SDG’s  
  - Paris Climate Agreement  
  - Video: COP21/CMP11 official video (1:29)  
  - Climate change planning group discussion  
  - New Urban Agenda-  
  - NUA Group Exercise – Comparing your master plan to the NUA  
  - Conclusion & Group Discussion | • To provide a concise overview of current international agreements pertaining to cities  
• To analyse the relevance of these agreements at local level  
• To understand the role urban planning in realizing these international goals and gain perspective on how well aligned (or not) participants master plans are with the goals | • Module 2: Presentation  
• Video Presentations (3)  
• Group Exercises (2)  
• Interactive Dialogue | • Module 2: Presentation  
• Video presentations (3)  
• City master plans (brought by participants)  
• Exercise 2 Handouts |

<table>
<thead>
<tr>
<th>SESSION 4</th>
<th>DURATION</th>
<th>CONTENTS</th>
<th>OBJECTIVES</th>
<th>TRAINING ACTIVITIES</th>
<th>REFERENCE MATERIALS</th>
</tr>
</thead>
</table>
| Module 3: The Fundamentals of Planned Urbanization for Attaining Sustainable Development | 90 minutes | • Overview of UN-Habitat Three-Pronged Approach and its relevance to future sustainable development  
• Video Master class: Principles of Planned Urbanization Dr. Joan Clos (19:29) or from Master class from IUTC training (50 minutes)  
• 3PA Group assignment & discussion  
• Introduction of the City Prosperity Initiative and data driven decision making  
• Exercise CPI  
• CPI, 3PA, NUA and SDGs  
• Video: City Prosperity Initiative (16:31)  
• Presentation of Mexico City Case Study  
• How to join the CPI Initiative & conclusion | • To understand the need for evidence-based, data driven decision making  
• To gain a general knowledge of the tools available to achieve the goals of the NUA and SDG’s utilizing the 3PA & CPI | • Module 3: Presentation  
• Video presentations (3)  
• Interactive dialogue  
• 3PA group assignment and dialogue  
• CPI Exercise | • Module 3: presentation  
• Video Presentations (3)  
• Exercise handouts |
## DAY TWO

### DAY TWO: PLANNED CITY EXTENSION & PRESENTATION OF CASE STUDIES

<table>
<thead>
<tr>
<th>SESSION 5</th>
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<th>OBJECTIVES</th>
<th>TRAINING ACTIVITIES</th>
<th>REFERENCE MATERIALS</th>
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</thead>
</table>
| Module 4: Planned City Extension | 3 hours | • The planning context and why we need to plan for city extensions  
• An introduction to the concept of Planned City Extensions and the general planning & design principles that apply  
• Video: On Compact, Integrated & Connected Cities (12:40)  
• An overview of how the 3PA applies to design and execution of planned city extensions  
• Video: Value Capture as a land based tool to finance development (15:34)  
• Value Capture group discussion questions  
• The CPI and PCE as well as other 3PA data indicators  
• Presentation of PCE case study on the Philippines  
• Further examination of general planning principles such as public space, urban growth models, and density  
• Video: Making Room for a Planet of Cities (16:51)  
• Group exercise | • To gain a comprehensive understanding of the fundamentals and components involved in a successful planned city extension  
• To understand how an integrated 3PA approach is necessary for planned city extension | • Module 4: Presentation  
• Interactive dialogue  
• Case study presentation  
• Group Exercise | • Module 4: presentation  
• Video Presentation (3)  
• Exercise handouts |

<table>
<thead>
<tr>
<th>SESSION 6</th>
<th>DURATION</th>
<th>CONTENTS</th>
<th>OBJECTIVES</th>
<th>TRAINING ACTIVITIES</th>
<th>REFERENCE MATERIALS</th>
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</table>
| Presentation of Case Studies | 3 hours | • Participants provide a case study presentation to the group. | • A better understanding of urban challenges and ways to address them through peer-to-peer learning | • Case Study presentations  
• Q&A: Peer-to-peer exchange | • Case study presentations |
## DAY THREE

### DAY THREE: HOUSING AT THE CENTRE & URBAN MOBILITY

<table>
<thead>
<tr>
<th>SESSION 7</th>
<th>DURATION</th>
<th>CONTENTS</th>
<th>OBJECTIVES</th>
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<th>REFERENCE MATERIALS</th>
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</table>
| Module 5: Housing at the Centre | 3 hours | • Overview of the impact of housing on the development of cities  
• Summary of the current state of housing  
• Housing and the applicability of the 3PA  
• Overview of housing and SDG’s, NUA, and CPI  
• Data resources available for housing evaluation  
• Housing examples: Singapore & Netherlands  
• Presentation of case study: Brazil  
• Exercise: Applying the 3PA to housing in your city  
• Interactive Discussion | • To provide a clear understanding of how housing inextricably is linked to sustainable urban development.  
• To clearly articulate the urgent need for better integration of housing into urban and national policy by using evidence based and data driven decision making | • Module 5: Presentation  
• Kahoot! quiz  
• Video presentation  
• Case study presentation  
• Group exercise  
• Interactive dialogue  
• Kahoot! quiz | • Module 5: Presentation  
• Exercise Handouts  
• Kahoot! Quiz  
Module 5 |

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<tr>
<th>SESSION 8</th>
<th>DURATION</th>
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<th>OBJECTIVES</th>
<th>TRAINING ACTIVITIES</th>
<th>REFERENCE MATERIALS</th>
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</thead>
</table>
| Module 6: Urban Mobility | 3 hours | • Facts on mobility  
• The new paradigm: Defining mobility in terms of access  
• Video: Cities & the New Climate Economy (15:14)  
• Mobility and the 3PA  
• Video: Transforming Cities with Transit (15:48)  
• Discussion on Mobility and the CPI  
• Case study: Bogotá  
• Mobility Exercise | • To appreciate mobility as a key dynamic of urbanization, and to recognise how the associated infrastructure invariably shapes cities.  
• To understand how the spatial imprint and impact of infrastructure calls for a paradigm shift in urban planning - encouraging compact cities and mixed-land use | • Module 6: Presentation  
• Kahoot! Quiz  
• Video presentation (2)  
• Case Study  
• Group exercise  
• Group discussion | • Module 6: Presentation  
• Kahoot! Quiz  
Module 6 |
## DAY FOUR

### DAY FOUR: SLUM UPGRADED

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<tr>
<th>SESSION 9</th>
<th>DURATION</th>
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<th>OBJECTIVES</th>
<th>TRAINING ACTIVITIES</th>
<th>REFERENCE MATERIALS</th>
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<tbody>
<tr>
<td>Module 7: Slum Upgrading</td>
<td>6 hours</td>
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<td>Overview of the cause and history of slums, definition of slums, and the impact they have on cities</td>
<td>To gain a comprehensive overview of slums and the impact they have on cities</td>
<td>Module 7: Presentation</td>
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<td></td>
<td>An overview of how slum redevelopment fits into the New Urban Agenda and SDG’s</td>
<td>To provide an introduction to approaches for slum upgrading</td>
<td>Kahoot! Quiz</td>
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<td>Insight on the integration of the 3PA and CPI in approaching slum upgrading</td>
<td>To gain further insight about the challenges of slums and approaches for upgrading through a peer dialogue</td>
<td>Video presentation</td>
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<td>Importance of the twin-track approach; upgrading and prevention of slums</td>
<td>To further insight on approaches to slum upgrading through a hands-on role-playing exercise</td>
<td>Video presentation</td>
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<td></td>
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<td>Propositions to resolve slum challenges: ‘citywide, street-led upgrading’</td>
<td></td>
<td>Video Case</td>
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<td></td>
<td></td>
<td>Video presentation: Street-led Citywide Slum Upgrading Claudio Acioly (25:34)</td>
<td></td>
<td>Study</td>
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<td></td>
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<td>Overview of Participatory Slum upgrading Program (PSUP)</td>
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<td>Role Play Exercise</td>
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<td></td>
<td>Video case study and group discussion</td>
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<td>Group discussion</td>
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<td>Role playing exercise on slum upgrading</td>
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## DAY FIVE

### DAY FIVE: CLIMATE CHANGE & CLOSING

<table>
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<tr>
<th>SESSION 10</th>
<th>DURATION</th>
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<th>OBJECTIVES</th>
<th>TRAINING ACTIVITIES</th>
<th>REFERENCE MATERIALS</th>
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</thead>
</table>
| Module 8: Climate Change | 3 hours | • Defining climate change  
• Insight on how cities are both contributors to and victims of climate change  
• Exercise on how to assess the vulnerability of your city to climate change  
• Understanding how climate change, the NUA and the SDGs are interrelated and provide a call for action, incl CPI  
• Integrating Climate change into urban development  
• Video presentation: Transforming the City towards Low-Carbon Resilience; Steffen Lehmann (16 min).  
• Planning for climate change  
• Video presentation: planning for climate change in practice (9 min)  
• Climate Change & the 3PA & group discussion  
• Case study  
• Lessons learned & further reading | • To gain a thorough understanding on how climate change and urban development are interlinked  
• To understand how to plan and realize sustainable development by integrating 3PA at local level | • Quiz  
• Module 8: Presentation  
• Video  
• Case Study  
• Exercise  
• Group discussion | • Module 8: Presentation  
• Video |

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<thead>
<tr>
<th>SESSION 11</th>
<th>DURATION</th>
<th>CONTENTS</th>
<th>OBJECTIVES</th>
<th>TRAINING ACTIVITIES</th>
<th>REFERENCE MATERIALS</th>
</tr>
</thead>
</table>
| Closing Remarks & Course Evaluation | 3 hours | • Reiterate course objectives  
• Discussion on lessons learned  
• Introduction to world café, including three discussion questions | • Discuss lessons learned  
• Apply World Café methodology to identify how participants will apply 3PA to their daily practice  
• Course evaluation | • Group discussion | • World Café notes  
• Course Evaluation  
• Copies of course presentations |
3 SESSION DETAILS

3.1 DAY ONE

3.1.1 SESSION 1: WELCOME, INTRODUCTIONS & WHO IS IN THE ROOM

This session welcomes participants, and introduces trainers and participants. The session will deliver all of the essential training information including introductions, venue logistics, and course materials. A welcome speech and/or opening ceremony will be provided by the host (if/where applicable).

Participants engage in an icebreaker activity to have the opportunity to learn a little bit about each other in an interactive way. Next, participants are provided with an overview of the course agenda, objectives, course contents and ground rules. Participants are introduced to each module topic and the respective learning objectives.

Participants also engage in a “Who’s in the Room” Kahoot! online quiz to find out a little bit more about one another and the cities from which they come. Last, participants are asked to share their expectations for the course.

Learning objectives:
1. To be introduced to, and learn key information about participants and their respective cities.
2. To understand course expectations from participants.
3. To clearly communicate training logistics, goals and objectives.

Learning outcomes:
At the end of this session, participants will have a clear understanding of the goals and objectives of the training and will have gotten to know their fellow course participants and their cities.

3.1.2 SESSION 2: THE STATE OF URBANIZATION IN THE WORLD

This session aims to build a clear understanding of the state of our cities and why urban planning is in decline. The session strengthens the view that urbanization can be a transformative force towards sustainable development if properly planned, managed and steered with adequate planning, enabling legislation and a good set of plans and designs that can boost economic development and quality of living. It provides strong evidence that current policies and practices or the ‘business as usual’ approach is drastically falling short of accommodating the rapid growth pressures cities are facing today. It emphasizes why a new urban agenda is imperative to effectively address today’s challenges and take advantage of the opportunities offered by global urban trends. The session is broken into four parts.

1.) Part one, provides an overview of the biggest challenges facing cities today as a result of rapid urbanization and globalization. It provides a ‘state of our cities’ overview through the presentation of data and evidence to show current global urban trends. It asserts that cities
are operating in a significantly different social, economic and environmental context than just twenty years ago. It further reviews the structural challenges faced by cities in attempting to plan for the future.

2.) Part two, provides an overview of why sound urban planning practice matters and is absolutely crucial to sustainable development. This part provides a ‘Call to Action’ for more deliberate, evidence based decision-making.

3.) Next, part three, provides an overview of the, UN-Habitat publication (2016), “The Fundamentals of Urbanization” a qualitative and quantitative study on urban trends and conditions in the world’s cities. The publication delivers findings from a sample of 200 cities to demonstrate the decline in planned urbanization that is happening globally. It emphasizes that how we plan matters, as demonstrated through key findings in the study. In part three, participants partake in an exercise in which they compare the broad subject areas and key findings of the study, with the current state of their city. This exercise is followed by a group discussion on the current state of participant’s cities.

4.) Part four, concludes with key lessons learned, group discussion questions, and suggested further reading.

Learning objectives:
1. To build an understanding that planning is currently in decline, and that there is an urgent need for planned urbanization.
2. To sound a ‘call to action’ for better planning and well-managed urbanization.
3. To assess the current state of planning in participant cities’ in comparison to findings from the “Fundamentals of Urbanization.”

Learning outcomes:
At the conclusion of this session, participants will have acquired a sound understanding of the current state of our cities and what can be expected if we stay on the current trajectory. Through a series of examples, participants will come to the conclusion that many cities lack capacity and are grossly underprepared to face current challenges associated with urbanization. Furthermore, participants will learn from the key findings of “The Fundamentals of Urbanization” more specifically where cities are falling short in planned urbanization and to apply this thinking to their own cities.

Recommended reading:

UN-Habitat (2016). The Implementation of the Principles of Planned Urbanization: a UN-Habitat approach to sustainable development
TRAINER NOTES #3:

Participants should gain a firm understanding of how these agreements pertain to city planning and moreover, how cities can be instrumental in facilitating meeting the goals of each agreement.

The exercises are meant to bring the international context to a more practical level so that trainees can:

1.) better understand how their city is potentially contributing (or not) to the realization of these global goals
2.) to assess whether or not their current plans align with SDG’s, Paris agreement and NUA, and
3.) to think about what they can do as individual urban professionals in helping to realize these goals.

3.1.3 SESSION 3: GLOBAL AGREEMENTS ON URBANIZATION

The aim of this session is to provide participants a comprehensive overview of current international agreements pertaining to cities, and how they can be applied in the local context. Participants will gain a better understanding of how their cities can become active participants in realizing these ambitious global goals. The session further asserts that urban professionals play a pivotal role in the realization of these goals through deliberate actions taken towards more sustainable urban development. This session is broken into seven parts.

1.) The first part, provides a brief introduction on the impetus for global agreements and why they are so important in today’s global context. It also provides a brief chronology of the various international urban related agreements, which are covered individually in the subsequent parts.

2.) Part two, focuses on the Sustainable Development Goals (SDG), particularly the transition from the Millennium Development Goals to the Sustainable Development Goals highlighting the main differences between the two. This part explains the purpose and goals of the SDG’s, further elaborating on SDG-11: Sustainable Cities and Communities- as it pertains specifically to urban development.

3.) In part three, participants engage in a brief exercise further reviewing the SDG-11 targets to determine which targets are most urgent to their city. They are also asked to look at the entire list of SDG’s and rank their relevance to their city. Last, they further decipher which of the top three SDG-11 targets they have identified are included in their respective comprehensive/ master plans, and to further assess how well their plans are align with the entire list of SDG’s. Participants are encouraged to contemplate how well aligned their current planning efforts
(and actual plans) are with the goals of the SDG’s, and the potential steps that could be taken better align as such.

4.) Part Four, delivers a brief presentation on the Paris Agreement, an international response to climate change. This part also provides a brief chronological overview leading up to the Paris Agreement, and its relevance particularly to cities. During this section, participants will watch a brief video on the adoption of the Paris Agreement as well as engage in a group discussion on their respective climate change planning efforts. Again, participants are encouraged to consider how well their climate change efforts and plans, mesh with broader global goals.

5.) Part five, follows with an overview of Habitat III and the New Urban Agenda. This portion also provides a brief historical perspective starting with Habitat I in 1976, to the recently adopted New Urban Agenda from Habitat III. The presentation delves further into the specifics of the New Urban Agenda including the three transformative and eight key commitments.

6.) In part six, participants engage in a brief exercise to identify how well their respective master/comprehensive plans align with the NUA. Participants are asked to examine the NUA transformative and key commitments and compare with their city comprehensive/master plans to assess whether or not there is cohesion between local planning objectives and the international goals.

7.) The final part (7), provides a conclusion with lessons learned, recommended reading and questions for further group discussion. The final discussion questions bring the conversation to an individual level by asking participants to think about how they envision their role as urban professionals, in advancing the goals set forth in these international agreements.

**Learning objectives:**

1. To provide a concise overview of current international agreements that pertain to cities including: The Paris Agreement, Sustainable Development Goals, and New Urban Agenda.
2. To provide a clear understanding of how international agreements must be implemented at the local level.
3. To clearly articulate the role of cities and urban planning in realizing these international goals.
4. To conduct a rudimentary analysis and gain perspective on how well aligned (or not) participants master plans are with the goals of these international agreements.

**Learning outcomes:**

At the end of this session, participants will have a clear understanding of the most current global agreements -specifically pertaining to cities- and the necessity for international collaboration in obtaining these goals. Furthermore, participants will gain a better understanding of the relevance of these global agreements at local level, and in particular, for the planning practice in their own cities.

**Recommended reading:**


Further reading for the trainer:

Citiscoppe (2016). Here’s the list of Sustainable Development Goal targets that have a role for cities. http://citiscoppe.org/story/2016/heres-list-sustainable-development-goal-targets-have-role-cities


Video references:

COP21 (2015). COP21/CMP11 Official Video
https://www.youtube.com/watch?v=cQ4EYieWsTU

https://www.youtube.com/watch?v=EXTwxKvA8A8

http://www.un.org/sustainabledevelopment/blog/2016/05/the-future-is-now/

3.1.4 SESSION 4: THE FUNDAMENTALS OF PLANNED URBANIZATION

This session delivers information on the basic principles of planned urbanization, and provides guidance on the analytical tools available to better support evidence-based planning. This session contains five parts.

1.) The first part, introduces the ‘Three-Pronged Approach’ as an integrated, cross-sectoral approach to sustainable development. The 3PA integrates and tests the design, financial, and legal plans, with continuous feedback and adjustments in order to achieve the ultimate objectives of planned urbanization.

2.) In the next part, a video master class by Dr. Joan Clos on the “Principles of Planned Urbanization” is presented providing a comprehensive overview of the Fundamentals of Urbanization and how cities can more adequately plan for the future by concertedly utilising the three-pronged approach. The starting point for the lecture is the distinction between spontaneous and planned urbanization. Planned urbanization emphasises the benefits of cities, such as the capacity to generate wealth, employment, as well as coexistence benefits and the diversity of cultural exchanges. Spontaneous urbanization on the other side usually doesn’t provide enough public space, basic services or attention to the principles of good urbanization that would enable its citizens to enjoy the benefits of living in a city. This video is followed by a brief exercise and discussion on the applicability of the 3PA in participant cities.

3.) Part three, builds on the previous sections making the case that planning for sustainable development also requires evidence-based, data driven decision-making. It introduces UN-
Habitat's City Prosperity Initiative (CPI). The CPI acts as a strategic policy tool where the data and information is collected to measure progress and identify deficiencies in different dimensions of prosperity. The intention of the CPI is to link data to policy-making. Participants are provided an in-depth overview of the CPI’s six dimensions of prosperity and the corresponding data indicators.

4.) Part four includes a group exercise on the CPI for the participants to familiarise themselves with the terminology and logic of the tool and to get a basic understanding of how the CPI could be applied at local level to enhance a data driven approach to planning. Participants will then also be encouraged to visit the CPI website.

5.) Part five delves deeper into the subject. Participants will also watch a UN-Habitat video by, Eduard Lopez Moreno, on the CPI to gain a more thorough context and comprehension of the initiative. Moreno explains how the CPI was created based on city surveys and policy research. He then introduces the main characteristics of this index and the initial grouping of cities across the world that go from solid, moderate and weak factors of prosperity. Each one of these groups have specific features that reflect the stage of development of cities and their technical and institutional capacities, which impact differently over the six dimensions of prosperity. Moreno presents the objectives of the global initiative, indicating the technical support that UN-Habitat offers in various areas, such as institutional analysis, strategic thinking, training and capacity development, urban futures analysis, and policy simulations — all designed to help cities to advance on the prosperity path in a more sustainable manner. This part also reflects how CPI can be used as a tool to implement 3PA locally and explains the interlinkages with the New Urban Agenda and the Sustainable development Goals.

6.) In part six, participants will be presented a case study on Mexico’s application of the CPI to better evaluate their housing sector. The case study provides a concrete example of how the CPI can be practically applied in a large-scale effort, to better inform policy-making. Last, participants will be informed on how to get involved in the CPI, in partnership with UN-Habitat.

7.) The concluding part (7), provides some suggested CPI group discussion questions, key lessons learned and a suggested reading list.

Learning objectives:
1. To be introduced to the three-pronged approach (3PA) to planning, and to develop a clear understanding of the necessity for an integrated approach to future sustainable development efforts.
2. To clearly comprehend the need for evidence-based, data driven decision-making in city planning.
3. To gain a comprehensive understanding of the City Prosperity Initiative- its purpose, use and objectives (as well as how to get involved with the initiative).
4. To gain an understanding that access to adequate housing, water and sanitation or any other civic, cultural, economic, political and social right that are codified in many of the human rights treaties, are integral parts of the CPI indicators and metrics.

TRAINERS NOTES #4:

Trainers are encouraged to refer to the CPI website. It shows the CPI results for a selected number of cities and gives information on how to get involved and what a CPI process in "your city" could look like.

http://cpi.unhabitat.org/
Learning outcomes:
At the conclusion of this session, participants will appreciate the need for evidence based, data driven planning to achieve the goals of the NUA and SDG’s and have been made familiar with the two tools created by UNHABITAT to help cities achieve this using the 3PA and CPI.

Recommended reading:

Further reading for the trainer:

Video references:

3.2 DAY TWO

3.2.1 SESSION 5: PLANNED CITY EXTENSIONS
This session gives an overview of the essential planning fundamentals necessary for accommodating future urban growth through planned city extensions (PCE). The session asserts that only cities that can address the double challenge of land in good supply, and orderly patterns of expansion, will be able to establish a solid basis for future economic and social growth. Expansions and densification plans are needed to enable cities to accommodate the expected growth in the next decades in a sustainable way. This session builds on the previous topics which are a bit broader in scope, to more specific planning measures that cities should incorporate into expansion efforts. This session, broken
into ten parts, provides in-depth contextual, as well as, practical information on planning for future urban expansion.

1.) Part one, provides the contextual overview of how cities are urbanizing at such a rapid pace, especially in developing countries, resulting in unplanned and often chaotic patterns. It provides a comprehensive overview of the latest data and statistics to demonstrate the enormity of the situation and the concurrent ramifications of such rapid urbanization: unplanned development, environmental degradation, slums, sprawl, congestion, etc. It builds on previous sessions asserting that mechanisms for ensuring an orderly expansion and densification of existing and planned neighbourhoods are needed in order to provide the city with a spatial structure that can support socioeconomic and environmental sustainability. Next, it defines planned city extensions as ‘an urban planning approach that can offer sufficient, affordable and serviced urban plots in a timely fashion’ as a path toward more sustainable development.

At the end of part one, a video by UN-Habitat, Raft Tufts, “On Compact, Integrated & Connected Cities” is presented. The lecture provides an introduction on why sustainable urban development is so relevant and how it can be achieved. The lecture first briefly describes UN-Habitat’s twin mandate of adequate shelter for all and sustainable urban development. It then explains how urban densities have significantly declined over the years in all parts of the world, exacerbating urban challenges like sprawl, segregation and congestion. It then reviews various planning approaches for rapidly growing urban areas. Further, Tufts explain how national urban policies, city-region planning and planned city extensions can help creating more compact, integrated and connected cities. The lecture ends with a global outlook, identifying several global processes that contribute to this new urban agenda.

2.) Part two, serves as a ‘Call to Action’, by taking a deeper look at how planned city extensions fit into the broader SDG and NUA global agendas. It points to the specific targets and goals and how better planned city extensions can be instrumental in reaching these global ambitions.

3.) Part three, elaborates on how the three-pronged can be applied to planned city extensions to: better accommodate infrastructure investment through tools such as value creation; guide future development within a regulatory framework; create a logical urban design pattern with appropriate street networks and public space; support densification and mixed-use development; and prevent or mitigate the impact of informal development.

A video on value capture as a financing tool, from the Lincoln Institute of Land Policy by Martim Smolka, is presented as an example of specific financing measures cities can consider to increase their revenue base. Based on the recent publication ‘Implementing Value Capture in Latin America’ Smolka explains the mechanism of value capture and its sustainability prospects. Smolka focuses on a sample of cases in the Latin American region, with an analysis that considers the equity and efficiency content, and evaluates actual and potential revenues these instruments generate under different local institutional socio-political circumstances. This is followed by a few discussion questions specifically on value capture.
4.) In part four, participants engage in a group exercise to better understand the applicability of the 3PA to planned city extensions.

5.) Part five provides a review of the CPI indicators demonstrating how well-planned city extensions, can impact the CPI indicators in different dimensions. This part also reviews additional data indicators that can be used to measure the impact of various elements of planned city extensions, for example, urban productivity, urban design and the regulatory environment.

6.) Part six, presents an in-depth case study of UN-Habitat's Achieving Sustainable Urban Development program (ASUD) planned development initiatives in four cities in the Philippines. ASUD addresses the gaps and deficiencies in current urban planning processes and policies at the national and local levels to be able to effectively respond to the complex demands of rapid population and economic growth. The case study demonstrates how advanced and deliberate planning efforts can be instrumental in assuring more sustainable urban development in cities that are rapidly expanding. Furthermore, it demonstrates a concrete application of the integrated three-pronged approach in doing so. The remaining parts further delve into specific planning measures and how they can best be incorporated into planning city extensions.

7.) Part seven, takes a deeper look at planning of public spaces, emphasizing that planned city extensions entail: a connected street network, serviced buildable plots and sufficient public space. Further details are provided about factors to consider when laying out a planned city extension.

8.) Part eight, takes broader look at potential urban growth patterns including three growth scenarios: urban infill, satellite towns and planned city extensions.

9.) The ninth part, takes a closer look at density and considerations for determining the ‘right’ density through a comparison of different floor-area-ratio design scenarios.

10.) Part ten, concludes with a lecture by Shlomo Angel, from NYU’s Stern Institute titled, “Making Room for a Planet of Cities” which summarizes the necessity for planned city extensions. This lecture is based on the realization that the current urban planning paradigm championed in the United States and Europe—the Containment Paradigm, also known as urban growth management, smart growth, or compact city—is inappropriate in the rapidly-urbanizing countries in Asia, Africa and Latin America. Instead, it calls a new paradigm for coming to terms with rapid urbanization: The Making Room Paradigm. Finally, the session finishes with key lessons learned, additional resources and a recommended reading list.

Learning objectives:
1. To better understand the foundational mechanisms for ensuring an orderly expansion and densification of existing and newly planned neighborhoods.
2. To learn how to approach new developments in a comprehensive and integrated manner utilizing the three-pronged approach from the inception of the planning process.
3. To understand the fundamentals of planned city extensions, including the basic rules and approach to growth management models, public space, and basic urban design etc.
4. To understand how data and indicators such as the CPI data are applicable to the planned city extension process, in aiding in making smarter more informed planning decisions.
Learning outcomes:
At the end of this session, participants will understand that rapid urban growth requires strategic deliberate planning vis-à-vis planned city extensions. Furthermore, participants will learn about the urban planning components and practical application of growth strategies that result in sustainable urban development which is compact, integrated and connected.

Recommended reading:

Further reading for the trainer:

Case study references:

Video references:
UN-Habitat (2014). Shlomo Angel. Making Room for a Planet of Cities  
https://www.youtube.com/watch?v=1GknqMC4B2o


3.2.2 SESSION 6: PRESENTATION OF CASE STUDIES

During this session participants will deliver their own case study presentation on a current urban planning policy or initiative, from their respective cities. Participants have been asked to bring to the training a detailed case study in a structured format (see Annex 2). Case study presentations are an important opportunity to bring some of the more conceptual or theoretical topics covered in the previous parts to a more real-world level. This session provides an additional opportunity for participants to hear about specific examples of the applicability of the 3PA from fellow participants, and to engage in an interactive dialogue to reflect on successes and shortcomings of each case study.

Case studies are presented individually, or in a group format, for the project and city being presented. The case studies should be directly related to the participants’ work, organization, and situated in the city being represented. It could be a project, a programme, a policy and should be directly related to the 3PA theme of the training programme: integration of finance, regulation and planning/design. It should highlight the utilisation of data, information and knowledge for the planning, management and implementation of urban development plans. Each case study presentation is allotted 30 minutes each to present their case studies followed by a ten-minute group question and answer (this may need to be adjusted according to number of participants).

Learning objectives:

- To share and learn about planning challenges and innovative solutions from real-world experiences.
- To hear about the application of the 3PA in a variety of planning contexts, from participants hands-on experience.
- To share professional experiences and receive feedback in a peer-to-peer context.

Learning outcomes:

Following this session, participants will have had the opportunity to share the major challenges in their cities and have a deeper understanding of specific urban challenges and ways to address them through peer-to-peer learning.

3.3 DAY THREE

3.3.1 SESSION 7: HOUSING AT THE CENTRE

Housing is one of those basic social conditions that determine the quality of life and welfare of people and places. Where homes are located, how well designed and built, and how well they are weaved into the environmental, social, cultural and economic fabric of communities are factors that, in a very real way, influence the daily lives of people, their health, security and wellbeing, and which, given the
long life of dwellings as physical structures, affect both the present and future generations. Housing is therefore central to sustainable development, and cities have the duty to mobilise action towards improving housing opportunity and conditions, as a means of meeting a basic human need.

This session is intended to demonstrate how in recent decades, housing has been neglected as a central element in the urbanization process. The results of which have had adverse effects on our cities, including massive sprawl and slum development, lack of affordability, insecurity of tenure, environmental degradation, growing inequality and more. The main message of this session is that housing needs to be placed back in the centre of the urban agenda as is advocated by UN-Habitat, and stressed in the New Urban Agenda and SDG-11. The Housing at the Centre session is broken into six parts.

1.) In the first part, the presentation utilises current data and trends to demonstrate how the lack of planning in the housing sector has resulted in precarious living situations for a significant portion of world’s urban population. Today, approximately 25% of the world’s population live in informal settlements, which is paralleled with an accelerating demand for housing, and growing affordability issues as a result rapid urbanization. The presentation delves into the impact that inadequately planned housing has on the urban poor, namely in the formation of informal settlements, lack of tenure security, health risks and more. Participants are asked to identify the most pressing housing issues within their cities. Participants are also asked to think about, if the housing situation were improved, which urban problems it might help to alleviate?

2.) Part two, focuses on the transition of housing policy direction leading up to Habit III which firmly places ‘Housing at the Centre’ of the New Urban Agenda. The session starts by providing a brief historical overview of housing policy and highlights how ‘enabling’ policies of the past failed in adequately meeting housing needs and demand. It demonstrates that market-led policies have resulted in sprawling, unplanned, and often unaffordable cities that have been unprepared for absorbing the many millions of the rural poor that are still crowding into informal settlements. Further exacerbating the situation, cities in the developing world are expected to double in urban population in 30 years, and triple the land area occupied. As such, UN-Habitat advocates that it is time to put ‘housing back at the centre’ of urban planning and policy which will require a paradigm shift from an enabling to investing approach. Furthermore, such a paradigm shift will require a holistic approach which recognizes that housing is more than four walls, or it will only exert a negligible influence on actual housing process and results. It is within this context, housing has moved into the forefront in the New Urban Agenda as is demonstrated in this part of the session. The presentation further demonstrates exactly where housing fits into the NUA’s three transformative commitments.

3.) Part three, looks at housing from a 3PA perspective, emphasizing the need for both national and local plans and policies towards housing, that are integrated and make housing a priority of any urban agenda. It provides specific measures that should be considered when planning for more affordable and stable housing in urban design, regulation, and finance. This section continues with two concrete case studies from Singapore, and the Netherlands, as examples
of efforts to address urban housing issues and the application of a three-pronged approach to do so. The case studies show the intersection of national and local policy efforts, as well as how financing, design and regulation worked together to address rapid urbanization and poor living conditions.

4.) Part four of this session, examines housing as it pertains to SDG-11 targets including providing ‘adequate, safe, and affordable housing for all’ by reducing the proportion of people that live in slums, informal, and inadequate housing. Next, part four takes a closer look that the CPI and the indicators used to measure housing infrastructure. The final portion of part four, examines additional indicators and date sources available in examining and measuring housing policy.

5.) Next, the session looks at a comprehensive case study from São Paulo (city) and Brazil (national) and their efforts at firmly putting ‘Housing back at the Centre’ of the urban agenda. The case studies combined, demonstrate how the integration of both national and local housing policies have had significant results in propping up the housing market and providing more affordable low-income housing, as well as access to stable financing. It also demonstrates how Brazil’s twin-track approach to housing (slum prevention and upgrading) has been successful in moving people into more stable housing situations.

6.) Part six, is comprised of an exercise in which participants are asked to assess their city's housing system using a supply-demand matrix and by applying the 3PA rationale. The exercise concludes with a list of discussion questions intended for participants to really examine their housing policies, and to determine whether or not there is cohesion between national and local policies.

7.) The housing session finishes with part seven, which reviews the key lessons learned, as well as a recommended reading list.

Learning objectives:

1. To understand that unplanned rapid expansion of towns and cities means an increasing number of poor and vulnerable people are living in precarious conditions, without adequate living space or access to basic services, such as water, sanitation, electricity and health care. Providing access to adequate housing for all is high among the priorities of the New Urban Agenda and SDG11.

2. To recognize that a paradigm shift is needed from the basic construction of houses to a more holistic approach which integrates regulatory frameworks, as well as urban planning and urban finance, with human right approach that recognizes the need to place people at the center of sustainable urban development.

3. To understand that to position housing back at the center development, a twin-track approach is needed; a curative approach which involves improving existing houses, and a preventive approach, which involves construction of new housing unit.

Learning outcomes:
Following this session, participants will have acquired a clear understanding of how housing inextricably is linked to sustainable urban development. They will be able to recognize the urgent need for better integration of housing into urban and national policy by using evidence based and data driven decision-making. Also, they will be able to distinguish different tools and instruments that governments can use to intervene in the housing market and apply this to the housing situation in their own city.
Recommended reading:


http://www.mckinsey.com/~/media/mckinsey/global%20themes/urbanization/tackling%20the%20worlds%20affordable%20housing%20challenge/mgi_affordable_housing_full%20report_october%202014.ashx

UN-Habitat (2016). Housing at the Center of the New Urban Agenda.
http://unhabitat.org/housing-at-the-centre-of-the-new-urban-agenda/

https://unhabitat.org/books/financing-urban-shelter-global-report-on-human-settlements/


Further reading for the trainer:


Case study reading references:


Instituto Lula (ND). Program generates 1.3 million jobs and fuels the construction chain. 

UN-Habitat (2013). Scaling-up Affordable housing supply in Brazil: The My House My Life programme.
http://unhabitat.org/scaling-up-affordable-housing-supply-in-brazil/

http://www.worldpolicy.org/blog/2016/07/07/brazil-my-house-my-life

3.3.2 SESSION 8: URBAN MOBILITY

Mobility is a key dynamic of urbanization, and the associated infrastructure invariably shapes the urban form – the spatial imprint defined by roads, transport systems, spaces, and buildings – of cities. Yet, despite the increasing level of urban mobility worldwide, access to places, activities and services has become increasingly difficult. Owing to urban sprawl – the horizontal, low-density growth of cities over vast areas – distances between functional destinations such as workplaces, schools, hospitals, administration offices, or shopping amenities have become longer, leading to a growing dependency on private motorized transport and other car-centered mobility. Consequently, widespread congestion and traffic gridlock have now become the norm in many cities, impacting urban life through negative externalities such as pollution, noise stress, and accidents. Data from CPI provides evidences that the higher the street connectivity composite index the higher is the city prosperity index. There is indeed a positive co-relation. Thus urban spatial structures that make optimal use of land for increased mobility and circulation of people, goods and transport do matter for sustainable urbanization.

This session focuses on the challenges and opportunities of mobility in sustainable development. So far, the standard response to addressing urban mobility issues typically has been to increase infrastructure, mostly for cars, such as building more roads, highways, flyovers, or tunnels. Unfortunately, these developments engender a vicious circle: more infrastructure stimulates urban sprawl because access to peripheral urban areas is eased, increasing the use of cars which, in turn, calls for further infrastructure development, and so on. Therefore, this session call for a paradigm shift in which mobility is realized as more than just getting people from point A to B- that it is ultimately about accessibility. The session emphasizes that the purpose of mobility is to gain equitable and affordable access to resources, jobs, destinations, etc. The sessions primary message is that a compact, mixed-use urban form is essential for increasing mobility, as is the prioritization of public transport and non-motorized transportation.

The urban mobility session is broken into seven parts.

1.) In part one, information and data is provided to present the challenges cities currently face that are a result of poor transportation planning, unfettered development, and rapid urbanization. It also provides transportation forecasts as cars become more and more dominant especially in the developing world. Part two, starts with basic facts on mobility, and how the car bias is increasingly negatively impacted cities resulting in more congestion, sprawl, pollution and inequitable places. It builds on this data by laying out the potential environmental, economic, human, and...
other dimensions if we stay on the current trajectory.

Next, a video by Philipp Rode, from the London School of Economics, LSE Cities on, “Cities and the new climate economy” is presented. This lecture presents the findings of the cities research programme of the Commission’s New Climate Economy (NCE) project which LSE Cities is co-leading. The overall aim of NCE is to provide independent and authoritative evidence on the relationship between actions, which can strengthen economic performance and those which reduce the risk of dangerous climate change. The presentation focuses on the role of cities on how transportation and urban form needs to be at the center of a climate economy. The presentation is broken into three parts: urban growth and growth challenges, moving beyond business as usual, and enabling better urban accessibility.

2.) During part two, participants are asked to discuss how current transportation systems impact these various dimensions of their cities. This part ends by concluding that urban mobility can also positively impact urban sustainability through deliberate planning measures such as designing more compact and mixed-use, prioritizing public transit, coordinating transportation and land use, and more.

3.) Part three, provides a more comprehensive definition of mobility. It expands beyond the conventional wisdom of building more roads to accommodate new growth, to defining mobility in terms of accessibility. It contends that urban planning & design, finance and regulation should focus on bringing people and places together, and that access has both spatial and human elements to consider.

4.) Part four, delves deeper into a 3PA to mobility planning. It looks specifically at a variety of design patterns that help to increase accessibility in urban areas such as transit-oriented development. From a regulatory perspective, a 3PA approach aims to support compact, mixed-use, and accessible development through strategic zoning, building codes, set-backs and more. From a finance approach, the presentation looks at the financial characteristics of different form of transportation with a closer look at public transit financing mechanisms.

Next, an UN-Habitat video lecture is presented by Robert Cervero titled, “Transforming Cities with Transit.” Cervero, calls for elevating the role of public transit in creating sustainable urban futures. He asserts that concentrating pedestrian friendly, mixed-use development near transit stops, supplemented by congestion pricing, is one promising strategy. Given that a large share of future urban growth will be in small to medium size cities, opportunities for integrating Bus Rapid Transit investments and urban development, Professor Cervero argues, should be exploited to the maximum degree possible.

5.) Part five, focuses on mobility and its inclusion in the Sustainable Development Goals and New Urban Agenda. Next, it looks at the infrastructure dimension of the CPI and more specifically at the urban mobility sub-dimension, which includes several indicators such as public transit usage and transport affordability. Finally, this section asks participants to discuss, how the CPI can be used to measure and evaluate progress toward SDG11 and NUA goals and review the CPI to examine which of the other indicators mobility might impact.

6.) Part six, provides a case study from Bogotá, Colombia and highlights the city’s efforts to build a bus-rapid transit system (BRT) to increase accessibility. The project aimed to transform Bogotá into a model for innovative, efficient, safe and accessible transportation networks. Further, the case study highlight’s Bogotá’s strategy by demonstrating the 3PA employed to build a successful BRT system.
7.) Part seven, is a group exercise designed to get participants thinking about their current transportation system and to further consider what an ideal mode split should be. Participants are asked to consider the ideal mode share from a 3PA perspective.

8.) The concluding part (8), provides a list of lessons learned and a recommended reading list.

Learning objectives:
1. To gain an understanding that the purpose of mobility is to gain access to destinations, activities, services and goods. Urban planning should therefore be resident-centered, so that functional endpoints, the reasons for travel, are as close as possible to each other, in effect reducing distances and transportation needs.
2. To comprehend that mobility is a key dynamic of urbanization, and the associated infrastructure invariably shapes the urban form and the spatial imprint defined by roads, transport systems, spaces, and buildings of cities.
3. To conclude that mobility should not only be a matter of developing transport infrastructure and services. It has to be placed in a systemic context including city planning as a whole, to overcome the social, economic, political, and physical constraints of movement.
4. To be aware that addressing the mobility challenge calls for a paradigm shift in urban planning, encouraging compact cities and mixed-land use as a way to increase accessibility and to reduce the need for transportation altogether.

Learning outcomes:
At the end of this session, participants will better comprehend mobility as a key dynamic of urbanization, and recognise how the associated infrastructure invariably shapes cities. Also, participants will be able to argue how the spatial imprint and impact of infrastructure calls for a paradigm shift in urban planning - encouraging compact cities and mixed-land use – in their respective cities.

Recommended reading:


Further reading for the trainer:

Video References:

Case study references:


3.4 DAY FOUR

3.4.1 SESSION 9: SLUM UPGRADING
This session is intended to clearly articulate why there is an urgent need to address slums in a comprehensive and systematic manner through strategic urban planning. While the proportion of people living in slums has been in decline in recent decades, the total amount of people living in slums is increasing due to rapid urbanization particularly in Asia and Africa. The session addresses an urgency to address slums in a systematic way, and with a human centered approach. The session builds on the housing module clearly articulating the necessity for a twin-track approach for both slum prevention, and upgrading. The session is broken into nine parts.

1.) The first part, delivers data and information on how slums adversely impact cities, and how they perpetuate inequality and lack of access to opportunity for residents. It also provides an overview of slums in the developing world by region.

2.) Part two, provides a clear definition of slums as defined by UN-Habitat and provides an understanding behind the cause of slums.

3.) Part three, reviews the impact of slums on people and cities, and a short history of efforts to mitigate the impact of slums. It provides a chronology of efforts to address slums and the lessons learned from these approaches.

4.) Part four, serves as a call to action to address slums by beginning with a working definition of slum upgrading and the interventions typically deployed. Next, part four introduces a twin-track approach to slums: prevention and upgrading. It also reemphasizes the need for a fundamental paradigm shift putting ‘housing at the centre’ of urban policy. Last, this section reviews how addressing slums from a human-rights based approach is crucial in reaching the goals of SDG11 and the NUA.
5.) Part five, of the session demonstrates effective tools in addressing slums namely, the three-pronged approach and the City Prosperity Initiative. Rather than piecemeal approaches, UN-Habitat advocates for a citywide approach where slums are fully integrated into urban planning and management systems. A citywide approach to slums is necessary to bring solutions to scale, as opposed to project-based initiatives. Furthermore, UN-Habitat advocates the opening of streets as the driving force for citywide slum upgrading known as a ‘street-led’ approach. Consequently, the citywide approach utilizes streets as the entry point to slum upgrading. A video by UN-Habitat’s, Claudio Acioly on Street-Led Citywide Slum Upgrading is presented. This lecture proposes a fundamental shift in addressing the problems of slums, and suggests an approach that focuses on streets as the engine for urban transformation. The strategy brought forward by Claudio Acioly uses streets as the natural conduits that connect slums spatially and physically with the city and treats streets not only as physical entity for mobility and accessibility. Following, this part continues with an overview of regulatory elements essential for successful slum upgrading with particular emphasis on security of tenure. This section concludes with financial strategies including potentials sources of revenue for slum upgrading projects.

6.) Part six, examines the CPI as a tool for monitoring slums. It looks at various CPI dimensions and sub dimensions and considers how slum upgrading programs can positively move these sets of indicators.

7.) Part seven, provides an overview of participatory slum upgrading. UN-Habitat’s Participatory Slum Upgrading Programme (PSUP) – aims to address the inequitable and uneven urban development patterns represented by slums. It engages affected communities and key urban stakeholders, placing them at the centre of efforts to improve the lives of slum dwellers. Next, a video case study on slums in Kenya is presented to facilitate a group discussion around participatory slum upgrading among participants. The case study video is followed by a number of discussion questions meant to elicit meaningful dialogue about citizen participation, and a peer-to-peer exchange about upgrading efforts.

8.) In part eight, participants will engage in a slum upgrading role playing exercise in which they will be led through a highly-interactive negotiating exercise. The exercise is a hands-on opportunity for participants to really look at all dimensions of slum upgrading from a variety of stakeholder perspectives. The negotiation exercise is followed by a series of reflection questions.

9.) The concluding section (part nine) provides bullets of lessons learned and a recommended reading list.

Learning objectives:
1. Physical upgrading of slums with street networks and improved access to municipal basic services through augmentation of physical infrastructure has proven to make formidable positive social and economic changes in many cities.
2. Slum and informal settlement upgrading needs to become part of a town or cities broader urban vision to enact the right to adequate housing and living standards for all by focusing on the role of housing at the center of quality of life and thus policy action.
3. Cities and towns have the duty to mobilize action towards improving housing conditions in slums as a means of meeting a basic human need.
4. Only with strong political will, sound guidelines and adequate regulations will countries and
cities be able to provide adequate shelter for all, reduce slum growth and ensure sustainable
urban development.

Learning outcomes:
At the end of this session participants will have gained a comprehensive overview of slums, the
impact they have on cities and the different approaches for prevention as well as, slum upgrading.
They will have gained practical knowledge and insights about the challenges of slums and
approaches for upgrading through a hands-on role play and peer dialogue.

Recommended reading:
Settlements.pdf

Upgrading Programmes.
https://unhabitat.org/books/a-practical-guide-to-designing-planning-and-executing-citywide-
slum-upgrading-programmes/

https://unhabitat.org/books/streets-as-tools-for-urban-transformation-in-slums/


Further reading for the trainer:
UN Habitat (2016). Designing and Implements Street-Led Citywide Slum Upgrading
Programmes: A training module companion.
https://unhabitat.org/books/designing-and-implementing-street-led-citywide-slum-upgrading-
programmes-a-training-module-companion/

UN-Habitat (2013). Housing and Slum Upgrading; Gender issue guide.

UN-Habitat (2013). The Relevance of Street Patterns and Public Space in Urban Areas.

UN-Habitat (2013). Streets as Public Spaces and Drivers of Urban Prosperity. Nairobi: UN-
Habitat.

Video references:
UN-Habitat (2014). A rights-based approach to urban development, Urban Jonsson, the
Owls.
https://unhabitat.org/a-rights-based-approach-to-urban-development-urban-jonsson-the-owls/


Case study references:

3.5 DAY FIVE

3.5.1 SESSION 10: CLIMATE CHANGE

Cities are major contributors to climate change and also particularly vulnerable to the effects of climate change. Cities cover less than 2% of the earth's surface, and yet, they consume 78% of the world’s energy and produce more than 60% of all carbon dioxide, and significant amounts of other greenhouse gas emissions (GHG). Furthermore, hundreds of millions of people in urban areas across the world will be affected by rising sea levels, increased precipitation, inland floods, more frequent and stronger cyclones and storms, and periods of more extreme heat and cold.

This session urgently calls cities to action, and advocates for the full integration of climate action initiatives into urban development agendas. Well-planned and managed urbanization is climate proof urbanization. This session is broken into seven parts.

1.) Part one, defines climate change and provides current trends in rising temperatures and greenhouse gas emissions (GHG).

2.) The next part, demonstrates how cities are both contributors, as well as vulnerable to climate change. This part provides current data to evidence cities’ contribution to GHG emissions and the latest data to demonstrate how urban areas are vulnerable to climate change due to many risk factors including but not limited to, flooding, water scarcity, and heat island effects.

3.) Part three, shows how to conduct a vulnerability analysis, which is then followed by a small group exercise and discussion in which participants are tasked with developing a vulnerability analysis.

4.) Part four, examines international agreements and how climate change is addressed most prominently in the Paris Agreement, as well as, the SDG’s and New Urban Agenda. Sustainable urban development is crucial in order to make progress on the SDGs and the Paris Agreement, something that is confirmed by the New Urban Agenda. Finally a link is made to the CPI and its relevant dimension and indicators.

5.) Part five, takes a closer look at integrating climate change into urban development. It further delineates climate action between mitigation and adaptation strategies. A video is presented by Steffen Lehmann titled, “Transforming the City Toward Low-Carbon Resilience”. The lecture introduces urban design principles that support the transformation of existing cities towards more resilience regarding the impact of climate change. The lecture outlines the principles of Green Urbanism and two on-going research projects: (1) Urban microclimates: How to keep cities cool; (2) Low impact construction using prefabricated engineered timber systems. This section continues with a discussion on various climate change action strategies.
and demonstrates how cities can mainstream climate change in their urban planning and development practices, based on data from the City Prosperity Index and a GHG inventory.

6.) Part six, takes a closer look at incorporating climate change strategies in an integrated way through the 3PA: urban rules & regulations, urban finance and urban planning & design. This section particularly emphasizes that good urban planning and planning for climate change are essentially interchangeable. It further asserts that climate change planning should be integrated and mainstreamed with existing city plans, planning processes and development activities across all sectors.

7.) The session is concluded by a practical case study from Bogor, Indonesia in their efforts to embed a low emissions approach into the municipal 5-year development plan. Throughout the session discussion questions will give the audience the opportunity to relate the theory to their daily practice. The City of Bogor has set itself on a low-emission trajectory through prudent urban planning to guarantee long-term sustainable development.

8.) Part eight concludes with the key lessons learned and a list of reading references.

Learning objectives:
1. To understand that cities are main contributors to climate change, as well as greatly impacted by the effects of climate change, and as a result cities can be a major player in reaching the goals of Paris Agreement, the SDGs and the New Urban Agenda.
2. To recognize that a paradigm shift is needed for sustainable urbanization, which includes mainstreaming climate change into existing urban financial plans, urban governance and legislations and urban development plans.
3. To understand how planning for climate change can support sustainable urban development and how the CPI and a GHG inventory may provide evidence of the challenges that require action.

Learning outcomes:
At the end of this session, participants will have acquired a thorough understanding on how climate change and urban development are interlinked. They will also understand how to better plan for climate change at local level by mainstreaming the topic into the planning practice using a three-pronged approach.

Recommended reading:


UN CC:e-Learn “Cities and Climate Change” https://unccelearn.org/course/

**Further reading for the trainer:**


**Case study references:**


3.6 SESSION 11: CLOSING REMARKS & COURSE EVALUATION

This session provides a brief recap of each module covered during the training session, and the key lessons learned. Following each module recap, participants are asked to comment on the session, and to offer key takeaways or insights. This session serves to identify the lessons participants learned throughout the course and to provide insight for improving future trainings. Participants discuss through a world café methodology, how they will further apply the 3PA in their daily work practice. For detailed instructions, please refer to Annex 6.

This is also an opportunity for the host facility to provide some brief closing remarks to participants. Hosts are welcomed to provide a brief recap including any key insights, takeaway’s, and/or opportunities for sustained relationships.

The session ends with a group reflection and filling out a course evaluation form.

At the conclusion of the training, participants should walk away with a clear idea of the latest international thinking, concepts and agreements on city planning with an emphasis on the need for multi-disciplinary and proactive approach to city extensions to promote sustainable urban development. They will also have learned how to apply innovative concepts - in particular the 3PA and CPI - into their daily work practice.

TRAINER NOTES #11:

The evaluation form will be the last part of the closing session but participants should be given ample time to fill it out. The evaluation should be conducted in paper format individually and confidentially.

Participants should not be requested to identify themselves on the evaluation form in order to ensure an honest and sincere evaluation. This includes a way for participants to submit evaluations anonymously (face down on a table, in a box etc.)

The evaluation should ask questions such as: what did participants learn, take away messages, what topics were sufficiently covered and what could use work, usefulness of each session, etc. See Annex 4 for sample evaluation.
4 ANNEXES

4.1 ANNEX 1: PRE-COURSE ACTIVITIES
4.2 ANNEX 2: WHAT TO BRING TO TRAINING
4.3 ANNEX 3: PLANNING TERM GLOSSARY
4.4 ANNEX 4: COURSE EVALUATION
4.5 ANNEX 5: EXERCISE WORKSHEETS MODULES 1-8
4.6 ANNEX 6: WORLD CAFÉ NOTES
ANNEX 1
PRE-COURSE ACTIVITIES

TARGET AUDIENCE
The workshop targets city leaders, senior decision makers and executive staff of municipal and regional governments involved in housing, urban planning, municipal finance and urban rules and regulations, who could subsequently support institutional coordination at city level for implementing the Fundamentals of Urbanization. The training will be delivered in English, with case studies from the region and other regions where UN-Habitat is active. The capacity of the session is limited to 30 participants in order to ensure good interaction between the trainees and the trainers and among the trainees themselves. Priority will be given to teams of three people from the same city each from one of the following sectors: Urban planning, municipal finance, urban legislation, housing, territorial management. Female candidates are strongly encouraged to apply.

PRECOURSE APPLICATION
In order to apply for the course, each applicant is requested to submit:

✓ An application form (typed, not handwritten): This form MUST be submitted in MS Word format, NOT in PDF, JPEG, nor by FAX, except a scan file of page 4 with official signature as an approval sign of your training participation. Applications sent in fragmented scanned pages may lead to incomplete information of your application form and thus lead to disqualification of your application.

✓ A scanned passport copy (passport needs to be valid for more than 6 months from the departure date from Republic of Korea),

✓ A 2-page outline summarizing the applicant’s case study on urban planning, spatial planning, data, indicators, spatial analysis or monitoring of policy outcome,

✓ At least one letter of recommendation from your employer/head. Don’t make any signature forgery as the letter could imply that you have been officially approved on the training participation. In the case your document proves false before/during the training, we will cancel your candidacy and notify your organization/head of the fact.

CASE STUDY SUBMISSION
Applicants to the programme are required to prepare an outline of the case study that they will present during the programme should they be selected by the selection committee. The case selected should be directly related to the participants’ work, his/her organization, preferably situated in the city where he/she works. It could be a project, a programme, a policy and should be directly related to the theme of the training programme. It should highlight the importance of data, information and knowledge for the planning, management and implementation of urban development plans.
ANNEX 1
PRE-COURSE ACTIVITIES

A 2-page outline, A4 format, single space, Arial font size 11) to be attached to the application should describe the context and local conditions, the objective, implementation strategy, results, challenges and opportunities.

Accepted applicants will be required to further develop the case study into a power point presentation which he/she will present during the workshop. Course participants are requested to bring relevant data, information, statistics from their respective cities to be used during the training sessions with a view of developing action plans.

SELECTION CRITERIA
Applications will be considered based on the following criteria:

- Proven ability to communicate in English. The nominees must be conversant in English. This should be guaranteed in the letter of recommendation.
- Demonstrated professional experience in planning and management of cities
- Nomination of an appropriate person who is able to participate effectively in the course
- Only the persons submitting their case study report will be considered as qualified applicants.
ANNEX 2
INFORMATION TO BE BROUGHT TO THE COURSE

Resources participants need to bring:
1. A copy of the most up-to-date City comprehensive/ master plan (if available)
2. A copy of the most up-to-date Climate Change Plan (if available)
3. City map showing land use
4. Case study presentation
5. City summary profile

For inclusion in City Profile:
Participants are required to bring the following information to the course in order to be able to relate the course to their own situation. The city profile should be 3-5 pages in length and submitted during the beginning of the course to the trainer (preferably in the digital format; illustration can be attached). This information will be used by participants for some of the exercises, discussions and the case study presentation which will be carried out during the course. In the case that the information is not available, the participant should provide a justified reason or provide related information (e.g. the information on slums is not available, is it because the data has not been collected?) Wherever possible, maps, photographs and videos can be brought.

Notes for the course trainer
The content and format of the information participants need to bring to the course should be sent to all selected participants at the time that they are informed of their acceptance. This should be at least two weeks prior to training date to allow for sufficient case study preparation time, as well, as to initiate the process of thinking about the subject ahead of the course, enabling informed participation and greater learning benefits.
ANNEX 2
INFORMATION TO BE BROUGHT TO THE COURSE

PARTICIPANT CITY PROFILE FORMAT

Name:
Country:

<table>
<thead>
<tr>
<th>Participant City Profile</th>
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<tbody>
<tr>
<td><strong>About your country:</strong></td>
</tr>
<tr>
<td>1. Name of Country:</td>
</tr>
<tr>
<td>2. Population</td>
</tr>
<tr>
<td>3. GDP per capita in US$</td>
</tr>
<tr>
<td>4. Human Development Index</td>
</tr>
<tr>
<td><strong>About your city:</strong></td>
</tr>
<tr>
<td>1. Name of city</td>
</tr>
<tr>
<td>2. Population</td>
</tr>
<tr>
<td>3. Main economic activities</td>
</tr>
<tr>
<td>4. Monthly average income of a low-income family in US$</td>
</tr>
<tr>
<td>5. Briefly describe the main problems in your city (environmental, social, economic etc.)</td>
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<tr>
<td>6. List key achievements of the city in the last 10 years</td>
</tr>
<tr>
<td>7. Briefly describe the situation in your city regarding access to housing and its relation to informally developed settlements</td>
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<tr>
<td>8. Briefly describe the transportation system in your city: mode split, etc</td>
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<tr>
<td>9. Briefly describe your city’s initiatives to address climate change.</td>
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<tr>
<td>10. Identify the most common obstacle that is hindering low-income families in your city</td>
</tr>
<tr>
<td>11. Provide an overview of growth patterns in your city- where is new development happening? What kind of new development is taking place (planned vs. unplanned, dense vs. sprawling)</td>
</tr>
<tr>
<td><strong>About urban policies and institutions</strong></td>
</tr>
<tr>
<td>1. List the institutions responsible for urban planning and management in our city</td>
</tr>
<tr>
<td>2. Brief description of the system of governance, particularly of cities, in your country</td>
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**ANNEX 2**  
**INFORMATION TO BE BROUGHT TO THE COURSE**

<p>| | |</p>
<table>
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<tr>
<td><strong>3.</strong> Briefly describe what is the current government policy (local, national) regarding your</td>
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<tr>
<td><strong>4.</strong> Does your city have development plans? How are they implemented?</td>
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<td><strong>5.</strong> Briefly outline the regulatory framework or mention the type of legislation that addresses problems with new development, land regularization, property rights</td>
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</table>

**About Municipal Finance**

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<table>
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<tbody>
<tr>
<td><strong>1.</strong> Provide an overview of your city’s revenue streams (taxes, from central govt., fee’s, loans, etc.)</td>
<td></td>
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<tr>
<td><strong>2.</strong> How do new projects get typically get financed in your city? (municipal revenue, land value capture, loans, public-private partnerships, etc.)</td>
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**About Your Work**

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<tr>
<td><strong>1.</strong> Share brief details about your own work and experience in the urban sector (this may be related to policy, finance, legal, planning, project design and management, implementation, information management, training and teaching etc.)</td>
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<tr>
<td># of SLIDES</td>
<td>CONTENT: ABOUT YOUR CITY</td>
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<tr>
<td>-------------</td>
<td>--------------------------</td>
</tr>
<tr>
<td>1-2</td>
<td>Opening slide:&lt;br&gt;• Provide your name, profession, position, affiliation, country of nationality, name of the course, date.&lt;br&gt;• Introduce yourself and the organization where you work, giving some additional information about the goal of your organization and your position,&lt;br&gt;• What are your primary responsibilities?</td>
</tr>
<tr>
<td>2-3</td>
<td>National Context:&lt;br&gt;• Facts and figures about the country: total population, urban population, percentage of urban, GDP, GDP per capita, poverty level, government/political system. Any specific data that distinguishes the country. Use this slide to explain the development specificities of your country.&lt;br&gt;• Illustrations: map of the country, a few photos, illustration that help highlight some ethnic, environmental aspect of the country. Show location of the city, case study. Provide additional data-based information and anecdotal information about your country</td>
</tr>
<tr>
<td>3-4</td>
<td>City analysis:&lt;br&gt;• Basic city data: include demographics such as population, geographic size, age cohorts, male/female population, ethnicities, etc.&lt;br&gt;• Economic overview: city GDP, median income of the population, primary economic activities and where they occur.&lt;br&gt;• Explain the main challenges of your city, e.g. housing needs, informal settlements, traffic congestion, etc.&lt;br&gt;• Give an overview of any major planning and/or infrastructure initiatives. Explain the policy objectives that these planning efforts are hoping to achieve. (For example, mass transit plans or slum upgrading initiatives).&lt;br&gt;• City planning department: how many staff, departments (show an organizational chart, if available). Where does the city administration lack capacity/ have sufficient capacity?</td>
</tr>
<tr>
<td>2-3</td>
<td>Data collection and decision making:&lt;br&gt;• How and who collects urban data?&lt;br&gt;• Is your city involved in any indicator project or other robust data collection systems? (for example, land use databases, property tax databases)&lt;br&gt;• What areas are measured/monitored? How is data used in urban planning? Explain the process of decision making for urban strategies utilizing data.</td>
</tr>
<tr>
<td>2-3</td>
<td>Legal framework for urban planning:&lt;br&gt;• Explain the legal framework for urban planning, including the system of land administration&lt;br&gt;• What laws and regulations govern the implementation of urban strategies? (For example, building codes, zoning, land tenure, urban growth boundaries).&lt;br&gt;• How is land managed and disposed for the purpose of urban development and housing development?&lt;br&gt;• Explain how land is regulated, and indicate whether or not land can be privately owned, commercialized. Who are the main actors in land development?</td>
</tr>
</tbody>
</table>
## Municipal income and finances:
- How is revenue generated: taxes, allocations from national government, user fees, etc.
- Briefly explain the role of the municipal government in budgeting for urban strategies and project implementation.
- How are urban development plans calculated and budgeted?
- Explain if there are systems of land value capturing or alternative methods for land-based revenue generation.
- Are other financing options available (PPPs? Bonds?)
  Who are the main actors?

## Institutional setting for planning and plans approval:
- Who are the actors and how does the planning department (if existing) relate with other divisions within the municipal government?
- What is the planning approach (e.g. participatory, top-down, etc.)?
- How are residents and other urban stakeholders are involved in the planning process?
- At what scale are most development projects planned (local district, city administration, metropolitan or regional, from the national government.)

### # OF SLIDES | CONTENT: CASE STUDY | DURATION
--- | --- | ---
2-3 | **Background:**
- Present the challenge the initiative/programme was trying to address.
- Provide facts and figures about the case study such as population, size/area, location, density, etc.
- Present illustrations: Maps, illustrations, photos, data that can reinforce the context of the case study | 5’
3-5 | **Strategy:**
- Explain the strategy and the solutions implemented
- Explain the goal of the project or policy intervention.
- Describe the institutional and organizational setting, legal framework, financing mechanisms. Illustrate with visual aids as needed.
- Provide financial figures such as budgets and cost elements, main sources of income
- Who were the stakeholders involved? How were stakeholders engaged?
- How was data used to better inform the decision making? | 7’
1-2 | **Conclusions:**
- What were the results?
- Describe the bottlenecks and strategies to overcome?
- Outline the lessons learned including results of evaluation, beneficiaries’ opinions and overall outcome as perceived and/or experienced by different stakeholders.
- What in your own opinion, went well and what did not? | 3’

**TOTAL TIME**
30’
Compact City - an urban planning concept, which promotes relatively high residential density with mixed land uses. It is based on an efficient public transport system and has an urban layout which encourages walking and cycling, low energy consumption and reduced pollution.

City Extension Planning - an urban planning tool that proposes a spatial structure for the growth of a city that can support its socioeconomic and environmental sustainability by ensuring an orderly expansion and densification of existing and future neighborhoods.

Connectivity - refers to the density of connections in a street network and the directness of links. A well-connected street network has many short links, numerous intersections, and minimal cul-de-sacs. As connectivity increases, travel distances decrease and route options and travel modes increase, allowing more direct travel between destinations, creating a more accessible and resilient system.

Density - the number of people inhabiting a given urbanized area.

Economic Inequality - the difference found in various measures of economic well-being among individuals in a group, among groups in a population, or among countries. Economic inequality sometimes refers to income inequality, wealth inequality, or the wealth gap.

Economies of Agglomeration – Clustering of population, housing, business activities and other urban services such as retail, healthcare, education and infrastructure. Resources can take advantages of a number of efficiencies by being located close to one another.

Land Use - the products and/or benefits obtained from use of the land as well as the land management actions (activities) carried out by humans to produce those products and benefits.

Livability - the sum of the factors that add up to a community’s quality of life—including the built and natural environments, economic prosperity, social stability and equity, educational opportunity, and cultural, entertainment and recreation possibilities.

Polarization - the segregation within a society that may emerge from income inequality, real-estate fluctuations, economic displacements etc. and results in such differentiation that would consist of various social groups, from high-income to low-income.

Plot Size – the size of a parcel of land on which a building will be or has been built.

Public Space - This is an area that is generally open and accessible to people. Public spaces usually include parks, streets, pavement, etc.
ANNEX 3
GLOSSARY OF PLANNING TERMS

Rate of urbanization - The increase in the proportion of urban population over time, calculated as the rate of growth of the urban population minus that of the total population. Positive rates of urbanization result when the urban population grows at a faster rate than the total population.

Social Exclusion - the failure of society to provide certain individuals and groups with those rights and benefits normally available to its members, such as employment, adequate housing, health care, education and training, etc

Spatial Segregation – the segregation of inhabitants of a city based on socio-economic, religious or ethnic grounds.

Suburbanization – the process of people moving from central urban areas to suburbs.

Sustainability (or sustainable development) - Development that meets the needs of the present without compromising the ability of future generations to meet their own needs. It contains within it two key concepts:
- the concept of needs, in particular the essential needs of the world's poor, to which overriding priority should be given; and
- the idea of limitations imposed by the state of technology and social organization on the environment's ability to meet present and future needs.

Urbanization - The proportion of a country that is urban. Also refered to as the population shift from rural areas into urban centres

Urban Migration - the process of people moving from rural areas to cities.

Urban sprawl - Also ‘horizontal spreading’ or ‘dispersed urbanization’. The uncontrolled and disproportionate expansion of an urban area into the surrounding countryside, forming low-density, poorly planned patterns of development. Common in both high-income and low-income countries, urban sprawl is characterized by a scattered population living in separate residential areas, with long blocks and poor access, often overdependent on motorized transport and missing well-defined hubs of commercial activity.

Walkability – a measure of how friendly an area is to walking.

GLOBAL AGREEMENTS ON URBANIZATION

Habitat III - the third United Nations Conference on Housing and Sustainable Urban Development which took place in Quito, Ecuador, from 17 – 20 October 2016
**ANNEX 3**

**GLOSSARY OF PLANNING TERMS**

**Inclusive Cities** - This concept refers to cities that promote growth with equity, places where everyone, regardless of their economic means, gender, race, ethnicity or religion, is enabled and empowered to participate fully in the social, economic and political opportunities that cities have to offer. Participatory planning and decision-making are at the heart of an inclusive city. Promoting inclusiveness is not only socially just, but is good for growth and central to sustainable urban development. Inclusive urban development and governance reduces inequality and social tension; incorporates the knowledge, productivity, social and physical capital of the poor and disadvantaged.

**Incremental development** - This term refers to the gradual expansion and improvement of individual houses, infrastructure and services, and neighbourhoods as a whole. Incremental development increases affordability by spreading construction expenditures over a longer period of time. It also allows for increased flexibility and adaptability to new needs and opportunities that may emerge during the extended construction period. At the same time it minimizes the risk of defaults in times of downturns in the family economy.

**Millennium Development Goals** - The Millennium Development Goals (MDGs) were the eight international development goals that had been established following the Millennium Summit of the United Nations in 2000, following the adoption of the United Nations Millennium Declaration. The MDGs established measurable, universally-agreed objectives for tackling extreme poverty and hunger, preventing deadly diseases, and expanding primary education to all children, among other development priorities.

**Multilateral Organizations** – an alliance between three or more countries to progress any given goal.

**New Urban Agenda** - the outcome document agreed upon at the Habitat III cities conference in Quito, Ecuador, 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.

**The Paris Agreement** – The first-ever universal, legally binding global climate deal which was adopted by 195 countries at the Paris climate conference (COP21) in December 2015. The agreement sets out a global action plan to put the world on track to avoid dangerous climate change by limiting global warming to well below 2°C.

**Policy** - A policy is typically described as a principle or rule, or set of rules, to guide decisions and achieve rational outcomes. It usually consists of a set of established ways of responding to the recurring challenges in a given area of activities. Policies can be understood as political, management, financial or administrative mechanisms that aim to reach explicit goals. They can be formulated and applied at various levels of organization.
ANNEX 3
GLOSSARY OF PLANNING TERMS

**Resilience** - Resilience is the capacity of a system to absorb disturbance and reorganize while undergoing change, so as to still remain essentially the same function, structure, identity, and feedbacks.

**Sustainable Development Goals** - The Sustainable Development Goals (SDGs), otherwise known as the Global Goals, are a universal call to action to end poverty, protect the planet and ensure that all people enjoy peace and prosperity by 2030. These 17 Goals build on the successes of the Millennium Development Goals, while including new areas such as climate change, economic inequality, innovation, sustainable consumption, peace and justice, among other priorities.

**Strategy** - This term refers to a plan of action designed to achieve a specific goal. A strategy sets the direction and scope of an organization over the long term to achieve advantages for the organization through its configuration of resources within a challenging environment to meet the needs of markets and fulfil stakeholder expectations.

THE FUNDAMENTALS OF PLANNED URBANIZATION FOR ATTAINING SUSTAINABLE DEVELOPMENT

**Building codes** - is a set of rules that specify the standards for constructed objects such as buildings and non-building structures. Buildings must conform to the code to obtain planning permission, usually from a local council. The main purpose of building codes is to protect public health, safety and general welfare as they relate to the construction and occupancy of buildings and structures.

**City Prosperity Initiative** - UN-Habitat’s City Prosperity Initiative (CPI) is a global initiative that enables city authorities, as well as local and national stakeholders, to identify opportunities and potential areas of intervention for their cities to become more prosperous. Its composite index made of six dimensions 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.

**Financial Plan** – plan that contains the ability of public investments to cover operations and, ultimately, generate economic and financial benefits for a city.

**Land Registration** – the system by which matters concerning ownership, possession or other rights in land can be recorded (usually with a government agency or department) to provide evidence of title, facilitate transactions and to prevent unlawful disposal.
ANNEX 3
GLOSSARY OF PLANNING TERMS

Land Tenure - the legal regime in which land is owned by an individual, who is said to "hold" the land

Legal Plan - contains the rules of land subdivision and land occupation as well as the regulatory frameworks governing planned urbanization

Prosperity - a social construct that materializes in the realm of human actions. It deliberately and conscientiously builds on the conditions prevailing in a city at any time, despite its size or location. This is a broader, wide-ranging notion that has to do with clear policies, and well-balanced, harmonious development in a fair and just environment. UN-Habitat conceptualized the notion of urban prosperity as being composed of the following: productivity; infrastructure; quality of life; equity and inclusion; environmental sustainability, and governance and legislation. Urban prosperity is based on the fundamental principles of human rights. It considers that urbanization, as a process, should adhere to human rights principles, while the city, as an outcome, should meet specific human rights standards that need to be measured. In this sense, access to adequate housing, water and sanitation or any other civic, cultural, economic, political and social right that are codified in many of the human rights treaties, are integral parts of urban prosperity.

Spatial Planning - Spatial planning systems refer to the methods and approaches used to influence the distribution of people and activities in spaces of various scales. Spatial planning can be defined as the coordination of practices and policies affecting spatial organization. Spatial planning takes place on local, regional, national and inter-national levels and often results in the creation of a spatial plan.

Three-Pronged Approach - An integrated urban management and urban planning practice which integrates the spatial plan that addresses density, land use, streets and public spaces, and the definition of public and private domains through urban design; a legal plan that contains the rules of land subdivision and land occupation as well as the regulatory frameworks governing planned urbanization; and the financial plan that mobilizes resources for its realization.

Zoning - Areas of land are divided by appropriate authorities into zones within which various uses are permitted. Thus, zoning is a technique of land-use planning as a tool of urban planning used by local governments in most developed countries.

PLANNED CITY EXTENSION

Building Set-back - In land use, a setback is the distance which a building or other structure is set back from a street or road, a river or other stream, a shore or flood plain, or any other place which is deemed to need protection.
ANNEX 3
GLOSSARY OF PLANNING TERMS

Brownfield development - 'Brownfield' land is an area of land or premises that has been previously used, but has subsequently become vacant, derelict or contaminated. This term derived from its opposite, undeveloped or 'greenfield' land. Brownfield sites typically require preparatory regenerative work before any new development goes ahead, and can also be partly occupied.

Building conversions - The adaptation of a building or part of a building for a new use

Cadastre - a parcel based, and up-to-date land information system containing a record of interests in land (e.g. rights, restrictions and responsibilities). It usually includes a geometric description of land parcels linked to other records describing the nature of the interests, the ownership or control of those interests, and often the value of the parcel and its improvements.

Contiguity - a series of things in contact or in proximity

Ecological footprint - a measure of human impact on Earth’s ecosystem and reveals the dependence of the human economy on natural capital.

Floor Area Ratio - Floor area ratio (FAR), floor space ratio (FSR), floor space index (FSI), site ratio and plot ratio are all terms for the ratio of a building’s total floor area to the size of the parcel of land upon which it is built. The terms can also refer to limits imposed on such a ratio.

Gentrification - is a process of renovation of deteriorated urban neighborhoods by means of the influx of more affluent residents.

Land consolidation - is a planned readjustment and rearrangement of land parcels and their ownership. It is usually applied to form larger and more rational land holdings.

Land value capture - a type of public financing that recovers some or all of the value that public infrastructure generates for private landowners. (https://en.wikipedia.org/wiki/Value_capture)

Mixed-Use Development - is a type of urban development that blends residential, commercial, cultural, institutional, or industrial uses, where those functions are physically and functionally integrated, and that provides pedestrian connections. Mixed-use development can take the form of a single building, a city block, or entire neighbourhoods. The term may also be used more specifically to refer to a mixed-use real estate development project—a building, complex of buildings, or district of a town or city that is developed for mixed-use by a private developer, (quasi-) governmental agency, or a combination thereof.

Parcellation – division of land into parcels (plots).
ANNEX 3
GLOSSARY OF PLANNING TERMS

Polycentrism – Polycentrism is the principle of organization of a region around several political, social or financial centres. Cities have no single centre, but several. A country is said to be polycentric if its population is distributed almost evenly among several centres in different parts of the country.

Serviced urban plots – an urban plot that is ready to build on. That means it already has the utility connections – water, gas, electricity and mains sewage, high-speed broadband and telephone – as well as access from the highway.

Setback rules - required distance of a building or other structure from another building, a street or road, a river or other stream, a shore or flood plain, or any other place which is deemed to need protection. Depending on the jurisdiction, other things like fences, landscaping, septic tanks, and various potential hazards or nuisances might be regulated. Setbacks are generally set in municipal ordinances or zoning. Setbacks along state, provincial, or federal highways may also be set in the laws of the state or province, or the federal government.

Transit-oriented development - a type of urban development that maximizes the amount of residential, business and leisure space within walking distance of public transport.

HOUSING AT THE CENTRE

Adequate Housing- The human right to adequate housing is more than just four walls and a roof. It is the right of every woman, man, youth and child to gain and sustain a safe and secure home and community in which to live in peace and dignity.

Affordable Housing- Personal or household financial costs associated with housing should not threaten or compromise the attainment and satisfaction of other basic needs (for example, food, education, access to health care).

Availability of services, materials, facilities and infrastructure- Housing is not adequate if its occupants do not have safe drinking water, adequate sanitation, energy for cooking, heating and lighting, sanitation and washing facilities, means of food storage, refuse disposal, etc.

Cultural Adequacy- Adequate housing should respect and take into account the expression of cultural identity and ways of life.

Demand- Side Housing- Demand side policies aim to increase aggregate demand. This needs to be done during a recession or a period of below trend growth. If there is spare capacity (negative output gap) then demand side policies can play a role in increasing the rate of economic growth. However, if the economy is already close to full capacity (trend rate of growth) a further increase in AD will mainly cause inflation.
**Habitability** - Adequate housing should provide for elements such as adequate space, protection from cold, damp, heat, rain, wind or other threats to health, structural hazards, and disease vectors.

**Housing Accessibility** - Housing is not adequate if the specific needs of disadvantaged and marginalized groups are not taken into account (such as the poor, people facing discrimination; persons with disabilities, victims of natural disasters).

**Housing at the Centre** - aims to shift the focus from simply building houses to a holistic framework for housing development, orchestrated with urban planning practice and placing people and human rights at the forefront of urban sustainable development. At the national level, the goal is to integrate housing into National Urban Policies and into UN-Habitat’s strategic thinking on planned urbanization. At the local level, the approach is to reinforce the importance of housing for urban planning and concomitantly to the development of cities and people. With the ‘Housing at the Centre’ approach, UN-Habitat will re-establish housing problems and opportunities in the international development agenda in an increasingly strategic manner vis-a-vis the future of urbanization.

**Housing Enabling Approach** - Government creates an ‘enabling environment’ for developers to produce ‘affordable’ housing, while public housing is privatised on a large scale.

**Housing Finance** - The purpose of a housing finance system is to provide the funds which home-buyers need to purchase their homes. This is a simple objective, and the number of ways in which it can be achieved is limited. Notwithstanding this basic simplicity, in a number of countries, largely as a result of government action, very complicated housing finance systems have been developed. However, the essential feature of any system, that is, the ability to channel the funds of investors to those purchasing their homes, must remain.

**Housing Guarantee Loan** - A loan guaranteed by a third party in the event that the borrower defaults. The loan is quite often guaranteed by a government agency which will purchase the debt from the lending financial institution and take on responsibility for the loan.

**Housing Location** - Adequate housing must allow access to employment options, health-care services, schools, child-care centres and other social facilities and should not be built on polluted sites nor in immediate proximity to pollution sources.

**Housing Risk Exposure** - Housing conditions such as e.g. lack of thermal comfort, dampness and mould, indoor air pollution, infestations, home safety, noise, accessibility and other factors all impact on health and the respective exposure varies between social groups and tenure within the population.

**Inclusionary Zoning** - Inclusionary zoning requires that some portion of every new housing development (e.g., 10%) beyond a given threshold size (e.g., 50 units) will be affordable to
below-median income residents to both increase the number of affordable units and create mixed income communities. Some inclusionary zoning programs permit developers to make “in lieu” contributions to a regional housing trust fund to construct affordable housing, rather than requiring units to be constructed on site.

**Informal Settlement** - 1) inhabitants have no security of tenure vis-à-vis the land or dwellings they inhabit, with modalities ranging from squatting to informal rental housing, 2) the neighbourhoods usually lack, or are cut off from, basic services and city infrastructure and 3) the housing may not comply with current planning and building regulations, and is often situated in geographically and environmentally hazardous areas. In addition, informal settlements can be a form of real estate speculation for all income levels of urban residents, affluent and poor. Slums are the most deprived and excluded form of informal settlements characterized by poverty and large agglomerations of dilapidated housing often located in the most hazardous urban land. In addition to tenure insecurity, slum dwellers lack formal supply of basic infrastructure and services, public space and green areas, and are constantly exposed to eviction, disease and violence.

**Insecurity of Tenure** - means that households can be easily lose their home through expropriation and forced evictions. This makes it difficult to motivate people to invest in their homes and create safe and healthy living environments when they know at the back of their minds through decades of political challenges that it can all be taken away.

**Legal security of tenure** - Regardless of the type of tenure, all persons should possess a degree of security of tenure which guarantees legal protection against forced eviction, harassment and other threats.

**Slums** - Slums are defined as those that lack one or more of the following:
- Access to improved water
- Access to improved sanitation
- Sufficient living space
- Structural quality/durability of dwellings
- Security of Tenure

**Supply-Side Housing Policy** - includes any policy that improves an economy’s productive potential and its ability to produce. There are several individual actions that a government can take to improve supply-side performance.

**Twin-track approach**: focuses on improving the supply and affordability of serviced land and new housing opportunities at a scale that aims at curbing both the growth of existing slums and
ANNEX 3
GLOSSARY OF PLANNING TERMS

the creation of new slums, while also implementing city-wide and national slum upgrading programmes to improve housing conditions and the quality of living conditions in existing slums

1. Curative approach- slum upgrading
2. Preventative approach - prevention of new slums through the provision and planning for new housing

MOBILITY

Bicycle-sharing system, public bicycle system, or bike-share scheme- is a service in which bicycles are made available for shared use to individuals on a very short-term basis. Bike share schemes allow people to borrow a bike from point "A" and return it at point "B".

Bus Rapid Transit- is a bus-based public transport system designed to improve capacity and reliability relative to a conventional bus system. Typically, a BRT system includes roadway that is dedicated to buses, and gives priority to buses at intersections where buses may interact with other traffic; alongside design features to reduce delays caused by passengers boarding or leaving buses, or purchasing fares. BRT aims to combine the capacity and speed of a metro with the flexibility, lower cost and simplicity of a bus system.

Car sharing Programs- Carsharing or car sharing (US) or car clubs (UK) is a model of car rental where people rent cars for short periods of time, often by the hour. They are attractive to customers who make only occasional use of a vehicle, as well as others who would like occasional access to a vehicle of a different type than they use day-to-day. The organization renting the cars may be a commercial business or the users may be organized as a company, public agency, cooperative, or ad hoc grouping.

Congestion pricing or congestion charges- is a system of surcharging users of public goods that are subject to congestion through excess demand such as higher peak charges for use of bus services, electricity, metros, railways, telephones, and road pricing to reduce traffic congestion; airlines and shipping companies may be charged higher fees for slots at airports and through canals at busy times. This pricing strategy regulates demand, making it possible to manage congestion without increasing supply.

Electronic Road Pricing- ERP is an Electronic Road Pricing System used in managing road congestion. Based on a pay-as-you-use principle, motorists are charged when they use priced roads during peak hours. ERP rates vary for different roads and time periods depending on local traffic conditions. This encourages motorists to change their mode of transport, travel route or time of travel.

Informal (Motorized) Transport- (also referred to as ‘paratransit’) relies on privately owned vehicles whose operators often lack necessary permits or do not meet requirements for vehicle
size, insurance coverage or driver standards. Even if some operators are fully licensed, they may deviate from routes or charge unauthorized higher fares, as a result of which they are considered informal.

**New Urbanism**- Before the advent of the private car, traditional neighbourhoods were compact and highly walkable. Daily activities (e.g. shops, restaurants and schools) that were no more than five minutes away were characteristic of the pre-automobile era. In the early 1980s, an urban design movement, called ‘new urbanism’, was developed in the US. This movement sought to return neighbourhoods to their pre-automobile designs and ambiances – places that promoted walking, allowed daily face-to-face interaction of people from all walks of life and provided a range of housing types, workplaces, commercial-retail offerings and public places.

**Non-motorized transport**- Non-motorized transport refers to the transportation of passengers via human or animal powered means including bicycles, rickshaws, pedicabs, animal-drawn carts and walking.

**Private motorized transport**- involves vehicles that are powered by an engine and are used by individuals or private companies to transport passengers. Light-duty vehicles (cars, SUVs, light trucks and mini-vans) and two- or three-wheelers remain the key modes of private motorized transport in urban areas.

**Public-Private Partnership**- a long-term contract between a private party and a government entity, for providing a public asset or service, in which the private party bears significant risk and management responsibility, and remuneration is linked to performance.

**Public Transportation**- Formal public transport services are those available to the public for payment, run on specified routes to timetables with set fares, and within the context of this report, in an urban area. They may be operated by public or private organizations and cover a wide range of modes, namely bus, light rail (tramways and street cars), metros, suburban rail, as well as waterborne transport (ferries, boats).

**Regional Planning**- deals with the efficient placement of land-use activities, infrastructure, and settlement growth across a larger area of land than an individual city or town. Regional planning is a sub-field of urban planning as it relates land use practices on a broader scale.

**Traffic Calming Strategies**- Traffic calming is one such example, pioneered by Dutch planners who have added speed humps, realigned roads, necked down intersections and planted trees and flowerpots in the middle of streets to slow down traffic. With traffic calming, the street becomes an extension of a neighbourhood’s liveable space – a place to walk, chat and play. Car passage becomes secondary.
ANNEX 3
GLOSSARY OF PLANNING TERMS

Traffic Congestion- is a condition on transport networks that occurs as use increases, and is characterized by slower speeds, longer trip times, and increased vehicular queueing. The most common example is the physical use of roads by vehicles.

Transit-oriented development- TOD is traditional or new urbanism development that is physically oriented to a public transport station. By concentrating a mix of pedestrian-oriented development around public transport nodes, residents and workers are more likely to catch a train or a bus for out-of-neighbourhood trips, and walk or bike for shorter within-neighbourhood trips. TODs aim to function as community hubs, and places where people not only ‘pass through’ but also choose ‘to be’ – e.g. for public celebrations and demonstrations, outdoor concerts, farmers’ markets and other activities that help build community.

Transportation Corridor- is a generally linear area that is defined by one or more modes of transportation like highways, railroads or public transit which share a common course.

Value Capture- the practice of linking fees and taxes on the indirect but real beneficiaries of transport access, has emerged as an attractive political approach to the challenge of creating sustainable revenue sources for public transport.

SLUM UPGRAADING

Citywide Slum Upgrading- A citywide scale approach is fundamental to enhancing the economic outcome generated by the opening of prioritised and multiple streets in different settlements, increasing connectivity, circulation and mobility also provide the opportunity for the ultimate physical integration of slums and informal settlements into their surrounding neighbourhood. Streets are the first step to integrating the economic resourcefulness of slum dwellers into wider urban and national markets.

Participatory Slum Upgrading Program (PSUP)- is a joint effort of the African, Caribbean and Pacific (ACP) Group of States, the European Commission (EC) and UN-Habitat. To date, the programme has reached out to 35 ACP countries and 160 cities, and has provided the necessary enabling framework for improving the lives of at least 2 million slum dwellers. The PSUP’s approach is grounded on its emphasis on integrating slum dwellers into the broader urban fabric and adopting a positive stance towards slum dwellers and in-situ slum upgrading, using city-wide participatory planning methods.

Slum prevention- This term refers to the set of measures that provide viable, and preferable, alternatives to the creation of new slums. It requires ensuring the availability of a highly diversified supply of affordable housing solutions, matching the diversity of housing demand in terms of locations, tenure types, costs and standards. Slum prevention is the main component of the Global Housing Strategy addressing the need for new housing. It requires comprehensive and forward-looking urban planning, appropriate and effective legal and regulatory
ANNEX 3
GLOSSARY OF PLANNING TERMS

frameworks, timely provision of affordable serviceable land, and availability of finance. It also requires demand responsive mechanisms for the introduction of infrastructure and basic services, and the availability of adequate and affordable construction materials and components.

**Slum upgrading** - This term refers to improving the physical and environmental conditions, as well as the provision of infrastructure and services, in the areas that are considered to be slums, and incorporating them into the mainstream city. It usually begins with a survey of actual conditions followed by the planned rationalization of layouts of individual plots (land readjustment) in order to enable the introduction of streets and land required for the infrastructure and services. This is combined with some means of ensuring security of tenure (regularization). To be successful the process must be community-driven and fully participatory. Slum upgrading is the main component of the Global Housing Strategy addressing the housing situation in existing areas of cities. The cost of slum upgrading is usually higher for inhabitants, the city and society in general than the planned development of new residential mixed-use areas, with appropriate planning, which enables “slum prevention”.

**Street-led Slum Upgrading** - A simple and straightforward approach that rationalises the layout of settlements and generates spatial urban patterns that essentially transform slums into neighbourhoods and connected economies through a process of physical integration with the larger urban area, where streets, and public space, act as the primary conduits for social and economic transformation that benefit the city as a whole.

**CLIMATE CHANGE**

**Adaptation (of Climate change)** - The process of adjustment to actual or expected climate and its effects. In human systems, adaptation seeks to moderate or avoid harm or exploit beneficial opportunities. In some natural systems, human intervention may facilitate adjustment to expected climate and its effects. Various types of adaptation exist, e.g. anticipatory and reactive, private and public, and autonomous and planned. Examples are raising river or coastal dikes, and substituting more temperature-shock resistant plants for sensitive ones, etc.

**Climate change** - Climate change refers to a change in the state of the climate that can be identified (e.g., by using statistical tests) by changes in the mean and/or the variability of its properties and that persists for an extended period, typically decades or longer. Climate change may be due to natural internal processes or external forcings such as modulations of the solar cycles, volcanic eruptions and persistent anthropogenic changes in the composition of the atmosphere or in land use. Note that the Framework Convention on Climate change (UNFCCC), in its Article 1, defines climate change as: ‘a change of climate which is attributed directly or indirectly to human activity that alters the composition of the global atmosphere and which is in addition to natural climate variability observed over comparable time periods’. The UNFCCC
thus makes a distinction between climate change attributable to human activities altering the atmospheric composition and climate variability attributable to natural causes.

**CO₂ equivalent** - The universal unit of measurement to indicate the global warming potential (GWP) of each GHG, expressed in terms of the GWP of one unit of carbon dioxide. It is used to evaluate the climate impact of releasing (or avoiding releasing) different greenhouse gases on a common basis.

**Disaster Risk Reduction** - The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reduced exposure to hazards, lessened vulnerability of people and property, wise management of land and the environment, and improved preparedness for adverse events.

**Ecosystem** - An ecosystem is a functional unit consisting of living organisms, their non-living environment and the interactions within and between them. The components included in a given ecosystem and its spatial boundaries depend on the purpose for which the ecosystem is defined: in some cases, they are relatively sharp, while in others they are diffuse. Ecosystem boundaries can change over time. Ecosystems are nested within other ecosystems and their scale can range from very small to the entire biosphere. In the current era, most ecosystems either contain people as key organisms, or are influenced by the effects of human activities in their environment.

**Energy Efficiency** - minimizing the amount of energy used for a given, constant energy service.

**Exposure** - The presence of people, livelihoods, species or ecosystems, environmental functions, services, and resources, infrastructure, or economic, social, or cultural assets in places and settings that could be adversely affected.

**Extreme weather event** - An extreme weather event is an event that is rare at a particular place and time of year. Definitions of rare vary, but an extreme weather event would normally be as rare as or rarer than the 10th or 90th percentile of a probability density function estimated from observations. By definition, the characteristics of what is called extreme weather may vary from place to place in an absolute sense. When a pattern of extreme weather persists for some time, such as a season, it may be classed as an extreme climate event, especially if it yields an average or total that is itself extreme (e.g., drought or heavy rainfall over a season)

**Food security** - A state that prevails when people have secure access to sufficient amounts of safe and nutritious food for normal growth, development and an active and healthy life.

**Global Protocol for Community-Scale Greenhouse Gas Emission Inventories** - a robust and clear framework that builds on existing methodologies for calculating and reporting city-wide GHG emissions.
Global warming - Global warming refers to the gradual increase, observed or projected, in global surface temperature, as one of the consequences of radiative forcing caused by anthropogenic emissions.

Green Building Technologies – technologies used for both structure and the use of the building that are environmentally responsible and resource-efficient throughout a building’s life-cycle: from siting to design, construction, operation, maintenance, renovation, and demolition.

Greenhouse effect - Greenhouse gases effectively absorb thermal infrared radiation, emitted by the Earth’s surface, by the atmosphere itself due to the same gases, and by clouds. Atmospheric radiation is emitted in all directions, including downward to the Earth’s surface. Thus, greenhouse gases trap heat within the surface-troposphere system. This is called the greenhouse effect.

Greenhouse gas - Greenhouse gases are those gaseous constituents of the atmosphere, both natural and anthropogenic, that absorb and emit radiation at specific wavelengths within the spectrum of thermal infrared radiation emitted by the Earth’s surface, the atmosphere itself, and by clouds. This property causes the greenhouse effect. Water vapour (H2O), carbon dioxide (CO2), nitrous oxide (N2O), methane (CH4) and ozone (O3) are the primary greenhouse gases in the Earth’s atmosphere. Moreover, there are a number of entirely human-made greenhouse gases in the atmosphere, such as the halocarbons and other chlorine and bromine containing substances, dealt with under the Montreal Protocol. Beside CO2, N2O and CH4, the Kyoto Protocol deals with the greenhouse gases sulphur hexafluoride (SF6), hydro fluorocarbons (HFCs) and perfluorocarbons (PFCs).

Greenhouse Gas Inventory - A quantified list of a city’s GHG emissions and sources

Impacts (of climate change) - The effects of climate change on natural and human systems. Depending on the consideration of adaptation, one can distinguish between potential impacts and residual impacts:
- Potential impacts: all impacts that may occur given a projected change in climate, without considering adaptation.
- Residual impacts: the impacts of climate change that would occur after adaptation.

Intended Nationally Determined Contributions (INDCs) – the publicly announced post-2020 climate actions countries intend to take under the international Paris agreement. The climate actions communicated in these INDCs largely determine whether the world achieves the long-term goals of the Paris Agreement: to hold the increase in global average temperature to well below 2°C, to pursue efforts to limit the increase to 1.5°C, and to achieve net zero emissions in the second half of this century (http://www.wri.org/our-work/topics/indcs).
**ANNEX 3**

**GLOSSARY OF PLANNING TERMS**

**Low-Emission Development** (LED) - in part interchangeable with climate change mitigation, but has a stronger focus on combining (sustainable) development and developing a low emission pathway.

**Urban Low Emission Development Strategy** (Urban LEDS) - is a pathway for cities to transition to a low emission, green and inclusive urban economy, through its integration into city development plans and processes. The Urban LEDS is one of the main outcomes of the GCC program. It includes a vision for the future and sets forward targets for GHG emission reduction and development goals as well as the overarching policies and actions needed to achieve them. Through them, local governments can gain immediate, direct, cost effective and scalable greenhouse gas (GHG) emission reductions, while improving livelihoods for their citizens and businesses and optimizing the use of local renewable energy and other resources. An Urban LEDS could – and ideally should – connect to a Regional and National LEDS to ensure efforts are aligned and coordinated.

**Low regrets policy** - A policy that would generate net social and/or economic benefits under current climate and a range of future climate change scenarios.

**Mainstreaming** - The process by which climate risks to city plans, programmes, activities and policies are considered and adjusted to address these risks. Mainstreaming assumes that other projects can be enhanced – e.g. poverty reduction, urban sustainability, etc. – and their benefits can be increased by integrating climate planning with them. Mainstreaming helps to ensure that a city’s plans and policies are not at odds with climate risks now and in the future.

**Mitigation (of Climate change)** - A human intervention to reduce the sources or enhance the sinks of greenhouse gases (GHGs).

**Resilience** - The capacity of social, economic and environmental systems to cope with a hazardous event or trend or disturbance, responding or reorganizing in ways that maintain their essential function, identity and structure, while also maintaining the capacity for adaptation, learning and transformation.

**Sensitivity (to Climate change)** - Sensitivity is the degree to which a system is affected, either adversely or beneficially, by climate variability or climate change. The effect may be direct (e.g. a change in crop yield in response to a change in the mean, range, or variability of temperature) or indirect (e.g. damages caused by an increase in the frequency of coastal flooding due to sea level rise).
ANNEX 3
GLOSSARY OF PLANNING TERMS

SMART - Self-Monitoring Analysis and Reporting Technology - The technologies (includes physical and logical applications in all formats) that are capable to adapt automatically and modify behavior to fit environment, senses things with technology sensors, this providing data to analyze and infer from, drawing conclusions from rules.

Strategic Environmental Assessment (SEA) - a systematic decision support process, aiming to ensure that environmental and possibly other sustainability aspects are considered effectively in policy, plan and programme making.

Vulnerability (to Climate change) - The propensity or predisposition to be adversely affected. Vulnerability encompasses a variety of concepts and elements including sensitivity or susceptibility to harm and lack of capacity to cope and adapt.
ANNEX 4
COURSE EVALUATION FOR PARTICIPANTS

COURSE EVALUATION HANDOUT

Notes for the Course Coordinator/ Trainer
The evaluation form may be given to participants during the final session. Evaluations should be submitted back the trainer/coordinator at the closing session. To ensure integrity of the results, evaluations should always be anonymously submitted and should not be completed in a group setting (Kahoot! or any other polling technology).

HOW TO CONDUCT THE EVALUATION

The evaluation is in two parts:

Part 1. Overall evaluation of the course
Part 2. Evaluation of sessions

You are required to complete both the parts and submit the completed form to the Course Coordinator just before the concluding session.

Please use the ranking matrix given below to rank each of the sessions/ exercises.

1 is lowest in value and 5 is the highest. For example, if you found the session extremely useful you can tick 5, and 1 if you did not find it useful at all.

Explanation of the ranking parameters
Useful: Did you find the contents useful in relation to the work you do?

Knowledge: Did the session add to your knowledge?

New skills: Did the session help you to acquire new skills, for example of analysis, planning, negotiation, teamwork etc?

Interesting: Did you find the presentation, discussions and methods interesting?

The box on the right is for your suggestions for improving the session. Please refer to the course schedule for the day, date and session name.
**ANNEX 4**

**COURSE EVALUATION FOR PARTICIPANTS**

**PART 1. OVERALL EVALUATION OF THE COURSE**

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<th>Were your expectations met by the course? (circle one)</th>
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<td>Yes / No / Partly</td>
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Please explain your answer briefly:

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<th>Would you recommend this course to others? (circle one)</th>
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Comments:

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<th>Was the duration of the course? (circle one)</th>
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List the three sessions you found particularly useful.

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# ANNEX 4
## COURSE EVALUATION FOR PARTICIPANTS

### PART TWO: EVALUATION OF SESSIONS

#### DAY ONE, SESSION TWO: THE STATE OF URBANIZATION IN THE WORLD: ACTION FOR CITIES

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#### DAY ONE, SESSION THREE: GLOBAL AGREEMENTS ON URBANIZATION

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#### DAY ONE, SESSION FOUR: THE FUNDAMENTALS OF PLANNED URBANIZATION FOR ATTAINING SUSTAINABLE DEVELOPMENT

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## ANNEX 4
### COURSE EVALUATION FOR PARTICIPANTS

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module 1

FUNDAMENTALS OF URBANIZATION
Exercise 1: Fundamentals of Urbanization

1. Instructions
   • Break into groups by city. Select one note taker and one reporter

2. City Health Check
   • Review sheet 1 ‘City Health Check’ do you recognize these problems in your city? Indicate on scale of 1-5 (individually)
   • Get in your groups and discuss the results: which ones are the most relevant urban challenges in your city? Give an example

3. City Self Assessment
   • Review the statements on sheet 2 ‘City Self Assessment’ Is your city doing enough to tackle its problems? Indicate on scale 1-5 (individually)
   • Get in your groups come up with at least one specific example of which issue in the city administration your recognize?

4. Report Findings
   • Report your city group findings to the whole group (3-5 min per group)

Configuration: Group exercise
   Time: 05 min. review statements (individual)
   10 min. discussion to formulate analysis (in groups by city)
   15 min. time to present (one presenter per group)
   30 min. total
<table>
<thead>
<tr>
<th>Exercise 1.1 - Sheet 1 - City Health Check</th>
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1. Legal Status Planning Regimes
- Portions of city extension areas are not covered in current plans

2. Public Space & Buildable Area
- Density, walk ability and connectivity in urban spaces is decreasing

3. Plot & Block Regulations
- Built-up area’s are not within walking distance of wide arterial roads
- Street networks do not favour walkability and biking
- Policy is not always translated into rules on the ground
- Available plot sizes in planned area’s do not always correspond to demand

4. Development control & regulation
- Development is not always happening in the right place when looking at densification and livability objectives

5. Building codes
- Residents, business and builders opt for informal solutions often on the edge of cities and low GDP areas
- Residential fabric is poorly integrated into the existing city, spatially segregating new neighbourhoods and isolating the poor.

6. Governance
- Public spending is not always efficient and transparent
- Participation is rarely successful in effecting change
1. Legal Status Planning Regimes
- Planning hierarchies can be complex making it difficult to manage institutions and responsibilities
- Observance and enforceability of plans varies significantly

2. Public Space & Buildable Area
- Problematic to acquire sufficient land for public space due to over reliance on expropriation and absence of alternative property and planning tools

3. Plot & Block Regulations
- Inappropriate regulations on plot and block sizes compromise densification
  - Plot subdivision and consolidation regulations are too stringent and enforcement mechanisms quite weak.
  - Exclusive reliance on limited market mechanisms contributes to exclusion

4. Development control & regulation
- Developers pay for development rights but fees are not always proportionate to the infrastructure and service burdens created

5. Building codes
- Regulations limit potential for desirable densification
  - Building and housing codes can be unrealistic or inaccessible and encourage informality

6. Governance
- Roles and responsibilities of local authorities on urban management are fragmented
  - Planning and administration mismatch among responsibilities, powers and funding

**EXERCISE 1.1 . SHEET 2 . CITY SELF ASSESSMENT**

*How valid is this statement for your city? Tick box on scale 1-5*

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<td>Planning hierarchies can be complex making it difficult to manage institutions and responsibilities</td>
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<td>Observance and enforceability of plans varies significantly</td>
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<th>2. Public Space &amp; Buildable Area</th>
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<th>3. Plot &amp; Block Regulations</th>
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<th>5. Building codes</th>
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<td>Regulations limit potential for desirable densification</td>
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<td>Building and housing codes can be unrealistic or inaccessible and encourage informality</td>
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<th>6. Governance</th>
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<tr>
<td>Roles and responsibilities of local authorities on urban management are fragmented</td>
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<td>Planning and administration mismatch among responsibilities, powers and funding</td>
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**Provide a relevant example of the specific challenge:**

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module 2

WORLDWIDE AGREEMENTS ON THE PROGRESSION OF CITIES
Exercise 2. Sustainable Development Goals

1. Instructions
   • Break into groups by city. Select one note taker and one reporter

2. SDG 11. Local Top 3
   • Review sheet 1 ‘SDG 11’ and read through the SDG’s, pick the top 3 targets that are most urgent for your city (individually)

3. SDG 11. City Self Assessment
   • Rate for each target how well your city is equipped to reach this target on a scale of 1-5 (individually)

4. Discuss & Report Findings
   • Get back in your city groups and discuss the results and get ready to present to the whole group (3-5 min per group)

Configuration: Group exercise
Time: 05 min. review statements (individual)  
10 min. discussion to formulate analysis (in groups by city)  
15 min. time to present (one presenter per group)  
30 min. total
EXERCISE 2.1 . SHEET 1 . SUSTAINABLE DEVELOPMENT GOAL 11

Which SDG target is the most urgent in our city? 
Indicate your top 3

How well is your city equipped to meeting this target? 
Rate on scale 1-5

11.1 By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums

11.2 By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons

11.3 By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries

11.4 Strengthen efforts to protect and safeguard the world's cultural and natural heritage

11.5 By 2030, significantly reduce the number of deaths and the number of people affected and substantially decrease the direct economic losses relative to global gross domestic product caused by disasters, including water-related disasters, with a focus on protecting the poor and people in vulnerable situations
EXERCISE 2.1 . SHEET 1 . SUSTAINABLE DEVELOPMENT GOAL 11

Which SDG target is the most urgent in our city?
Indicate your top 3

11.6 By 2030, reduce the adverse per capita environmental impact of cities, including by paying special attention to air quality and municipal and other waste management.

Rate on scale 1-5

11.7 By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, in particular for women and children, older persons and persons with disabilities.

11.a Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning.

11.b By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015-2030, holistic disaster risk management at all levels.

11.c Support least developed countries, including through financial and technical assistance, in building sustainable and resilient buildings utilizing local materials.
### EXERCISE 2.1 . SHEET 2 . URBAN RELEVANCE OTHER SDG’S

<table>
<thead>
<tr>
<th>SDG</th>
<th>Target Description</th>
<th>Rating 1-5</th>
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<tbody>
<tr>
<td>1</td>
<td>Local economic development strategies that create jobs &amp; raise incomes (SDG1/SDG8)</td>
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<td>3</td>
<td>Reduce air pollution, foster healthy lifestyles and prevent deaths from road traffic accidents (SDG3)</td>
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<td>5</td>
<td>Identify and tackle violence and harmful practices against women through urban planning (SDG5)</td>
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<td>6</td>
<td>Identify measures to increase access to clean water and sanitation in slum areas (SDG6)</td>
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<td>9</td>
<td>Promote small-scale industry and start-ups in their local economic development strategies (SDG9)</td>
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<td>10</td>
<td>Help reduce inequalities within cities (SDG10)</td>
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<td>12</td>
<td>Support short supply chains, thereby reducing transport and carbon emissions (SDG12)</td>
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<td>14</td>
<td>Help protect the lakes and oceans by preventing sewage, industrial effluent and other wastewater to flow directly into their surrounding seas (SDG14)</td>
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<td>15</td>
<td>Ensure that biodiversity conservation is an integral part of urban planning and development strategy (SDG15)</td>
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EXERCISE 2.1 . SHEET 2 . URBAN RELEVANCE OTHER SDG’S

1. Instructions
Get back into your city groups. Select one note taker and one reporter

2. Assess Urban Relevance
Review sheet 2 ‘Other SDG goals’ and indicate the relevance of each goal for your city on a scale of 1-5.

3. Discuss Questions
Discuss in your group the additional questions. Each group will report back

DISCUSSION QUESTIONS
• Your city’s top 3 SDG targets (sheet1), are they included in your master plan?
• What are specific data targets in your master plan?
• Do these correspond to SDG’s quantifiable goals?
• How can your master plan help to reach the SDGs and/or the SDG11 targets?
module 3

THREE PRONGED APPROACH AND CPI
Exercise 3. Three Pronged Approach

for integrated urban management & planning

A legal plan that contains the rules of land subdivision and land occupation as well as the regulatory frameworks governing planned urbanization

An urban/spatial plan that addresses density, land use, streets and public spaces through urban design

A financial plan to mobilize resources for its realization.
1. Instructions
Break into groups by city. Select one note taker and one reporter.

2. Three Pronged Approach
Draw the circles that best represent the current way of working in your municipality (individually)

\[
R = \text{Regulation/Legal} \\
F = \text{Finance} \\
P = \text{Planning}
\]

For Example:

3. Discuss & Present
Discuss with the group and draw the consensus on a flipchart. Think about size and position. Present to the group and explain why you drew them like this.

Configuration
- Group exercise

Time
- 05 min. review 3PA (individual)
- 05 min. discussion to formulate consensus (in groups by city)
- 10 min. time to present (one presenter per group)
- 20 min. total
EXERCISE 3.1 . SHEET 2 . CITY PROSPERITY INITIATIVE

Exercise 3. CPI @ city level

A CPI provides at a glance:

- Raw characteristics of urban growth (how much, and where)
- Quality of that growth
- Prosperity of the city (how your city is governed or how it creates and distributes socio-economic benefits or prosperity).
1. Instructions
- Break into groups by city. Select one note taker and one reporter.

2. CPI quick assessment
- Discuss what your city’s CPI would look like. Draw it out on a flipchart. Why do you think it would look that way?

3. CPI comparison
- Access CPI website and find the scores for a city that is comparable with yours. Compare the scores with your quick indicative assessment. What are your observations?

4. Report Findings
- Get ready to present your findings to the whole group (3-5 min per group)

Configuration: Group exercise
Time: 10 min. review city CPI and create indicative chart
- 10 min. access CPI website and run/compare scores
- 10 min. time to present (one presenter per group)
- 30 min. total
module 4

PLANNED CITY EXTENSION
EXERCISE 4.1 . SHEET 1 . 3PA & CPE

1. Instructions
Break into groups by city. Select one note taker and one reporter

2. Review table 1
Review in your group table 1 on sheet 2 ‘21 Components for a Legal Framework’ We will apply the 3PA thinking to this table. You will see that each piece of legislation is either linked to financial framework or planning and design.

3. Create ven diagram
• Refer to diagram 1 on sheet 3. Draw a diagram like this on a flip chart.
• Use six different colour post-it notes. Give each note a number and name of one of the 21 legal components. In total you now have 21 post-it notes
• Start putting the post-it notes in the corresponding circles on the flip chart, according to the situation in your country/city.
• This diagram looks something like the sample diagram on this page. It shows the interconnectedness of the 3PA between the financial, legal and the planning framework

4. Present ven diagram
• Compare the diagrams of other groups from other cities.
• Which numbers are in the same circles which ones are different?
• The facilitator will ask you to explain the rationale

5. Level of Intervention
• Get back to your groups
• Add two lines to your flipchart so it looks like diagram 2 on sheet 3
• Divide the post-it notes by level of government

6. Suggest Improvements
• Have a look at results of other groups
• The facilitator will now make one diagram for the whole group
• Every participant can suggest the best place for each legal component based on the following criteria:
  • optimise effectiveness
  • reduce non-desirable outcomes
  • economies of scale
  • institutional capacity
• Think strategically. Refer to slide for an example of ‘economies of scale’
• The outcome will be a ven diagram will a suggested optimized placing of the 21 components of a legal planning framework

Configuration
• Group exercise

Time
• 15 min. review table 1 and create ven diagram (2,3)
• 10 min. group presentations and reflection (4)
• 5 min. create new ven diagram (5)
• 15 min. discussion and make final ven diagram (6)
• 45 min. total

Materials
• Flipchart, markers, post it notes
### Components for a legal framework

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<th>Land Management</th>
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<th>Buildability-Development</th>
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<tbody>
<tr>
<td>1. Support the establishment of a physical and fiscal cadastre, with an efficient, up-to-date and publicly available information system</td>
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<td>2. Develop a urban planning hierarchy that is adequate to the local needs, plans are designed and implemented. The planning instruments include a city street plan.</td>
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<td>3. Provide an efficient tenure system with a legislation recognizing statutory and customary right (stability and security)</td>
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<td>4. Regulate land use to foster land use diversity and mixed use</td>
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<td>5. Regulate land-readjustment activities for urban extension and densification</td>
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<td>6. Support the provision of social housing</td>
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<td>7. Develop mechanisms to share increases in land value due to planning decision (urban to rural, building potential, valuable land use) and public investments (streets, public space, green areas, public transport infrastructure, basic infrastructure)</td>
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<td>8. Develop a property tax legislation that allows a large collection rate. It has to be based on the value of the land and development. Progressive increase for undeveloped, vacant land or empty houses.</td>
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<td>9. Allocate clear vertical development rights</td>
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<td>10. Define the buildable area (percentages, patterns, setbacks, etc.) based on desired densities and morphology</td>
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<th>Public Space</th>
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<th>Building Codes</th>
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<td>11. Provide a regulatory mechanism for private land acquisition</td>
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<td>12. Provide regulatory mechanism to allocate adequate space to streets (e.g. coverage ratio, number of intersections, width and length, street density)</td>
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<td>13. Provide regulatory mechanisms to allocate space to non-street public space (e.g. green areas, play grounds, sport facilities)</td>
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<td>14. Assign clear responsibilities of owners relating to the maintenance of streets and public space</td>
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<td>15. Formulate design guidelines for building facades</td>
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<td>16. Define a minimum plot size for residential use</td>
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<td>17. Define a maximum block size</td>
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<td>18. Provide efficient mechanisms to allow plot consolidation</td>
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<td>19. Provide plot readjustments mechanisms to allow flexibility in uses</td>
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<td>20. Provide efficient mechanisms to allow plot subdivision</td>
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<tr>
<td>21. Revise the building code</td>
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*Source: Authors*
Diagram 1
Interconnectedness of the 3PA
between the financial, legal and the planning framework

Diagram 2
Interconnectedness of the 3PA
between the financial, legal and the planning framework
by planning hierarchy
module 5

HOUSING @ THE CENTRE
EXERCISE 5.1 . SHEET 1 . 3PA & HOUSING @ CENTRE

1. Instructions
   - Facilitator uses ppt to introduce exercise
   - Break into groups by city. Select one note taker and one reporter

2. Design Housing Triangle
   - Study the housing diagrams that have been introduced in this module and are presented on sheet 2 and 3.
   - Use power point to design a Housing Triangle for your city or country.
   - Divide interventions in
     - Financial
     - Regulatory
     - Planning & Design
   - In those three categories separate them by demand and supply side intervention
   - One slide for each group (see visual reference on sheet 4)

3. Reflect on Triangles
   - Refer back to the ‘housing challenges’ that were introduced in the beginning of this module (also sheet 4)
   - What are the biggest challenges in your city or country?
   - Reflect on the interventions in your triangle.
   - Rate each intervention with 1-3 stars, based on well they are suited to deal with the priority challenges in your country.

4. Present Triangles
   - Each groups presents their triangles and reflections
   - The facilitator may ask groups to elaborate on particularly high or low rankings.

5. Suggest Improvements
   - Go back into your groups
   - Each groups thinks of 2-3 specific housing challenges in their neighbourhood/ city/project
   - Use knowledge from the Netherlands, Singapore and Brazil case study as well as presentations from the other groups, to propose measures that you could try locally
   - Create a new triangle to introduce these measures
   - Create four slides per group, three to introduce the specific challenges, one to introduce the new triangle

6. Present new Triangle
   - Each groups presents their 4-slide presentations
   - Group discussion focusses on:
     - Would measures be regulatory, financial or planning related?
     - Would the action be supply/demand related?
     - What measures would you recommend at a national level to support you?

---

Configuration . Group exercise

Time .
- 10 min . ppt introduction by facilitator (1)
- 10 min . design housing triangle (2)
- 10 min . reflect on triangle (3)
- 20 min . group presentations triangles (4)
- 20 min . suggest improvements and create new triangle (5)
- 20 min . group presentations new triangles and discussion (6)
- 90 min . total

Materials . One computer per group
**EXERCISE 5.1 . SHEET 2 . 3PA & HOUSING @ CENTRE**

**SINGAPORE**

- **Planning & Design**
  - National Housing Policy
  - Housing blocks in self sufficient new towns around mass transport corridors
  - Housing Development Board as provider of social housing (85% of population)

**SUPPLY**

- Minimum quota of HDB housing in new development
- Price control of primary market HDB flats
- Allocation regulations for different ethnic and income groups

**DEMAND**

- Rent control for social housing sector

**Finance**

- Low cost land & construction subsidies for HDB
- Annual grant to HDB
- Extra incentives to CPF for target groups
- Compulsory savings scheme: Central Provident Fund

**NETHERLANDS**

- **Planning & Design**
  - National Housing Policy
  - Mixed projects' with both owner-occupied and social rented housing
  - Housing corporations and municipal housing bureau as providers of social housing (35% of population)

**SUPPLY**

- Minimum quota of social housing in new development
- Rent control for social housing sector

**DEMAND**

- Guarantee structure through central housing fund for housing corporations
- Individual rental subsidy
- Income tax deduction of mortgage interest for home owners

**Finance**

- National Housing Policy
- Housing blocks in self sufficient new towns around mass transport corridors
- Housing Development Board as provider of social housing (85% of population)
EXERCISE 5.1 . SHEET 3 . 3PA & HOUSING @ CENTRE

BRAZIL

Planning & Design ➔

• Minha Casa, Minha Vida
• Twin-track approach
• National Effort to Modernize cities
• Goal to build 3.4 million homes

SUPPLY

• 2001 City Statute
• Decentralization to cities
• Numerous enabling laws, ordinances and amendments

Regulation

Finance ➔

• Access to finance
• Attractive developer financing
• Subsidies
• Mortgage loans
• Tax exemptions

DEMAND

SUPPLY

housing at the Centre

SÃO PAULO

Planning & Design ➔

• Strategic Urban Masterplan
• Build 717,000 new housing units by 2030
• Transit-oriented development
• Expansion of ZEIS Zones
• Set-aside portion of ZEIS for affordable housing

SUPPLY

• Removing height requirements
• Allowing mixed-use development
• Allowing adaptive reuse in occupied buildings
• Removing parking minimums in ZEIS

Regulation

Finance ➔

• Inclusionary Zoning
• Fee waivers
• Density bonuses

DEMAND
Key Housing Challenges

1. Quantity/supply versus demand
2. Affordability
3. Informal status
4. Insecurity of tenure
5. Unsustainable design
6. Risk exposure
7. Insufficient housing finance
8. Lack of planning

Key Questions

- Which measure would you suggest locally to best deal with these challenges?
- Would measures be regulatory, financial or planning related?
- Would the action be supply/demand related?
- What measures would you recommend at a national level to support you?

Figure 1. Visual Reference Housing Triangle
module 6
MOBILITY
**EXERCISE 6.1 . SHEET 1 . URBAN MOBILITY**

1. **Instructions**
   - Break into groups by city. Select one note taker and one reporter.

2. **Draw two bar charts**
   - Draw a bar chart of what you think the current mode split is for your city….
   - Draw a bar chart of what you think the mode split should be by 2050…

3. **Reflect on bar charts**
   - Now look at your chart and pick the mode that you choose to be increased the most.
   - If you selected, public transit – what type do you envision? (Bus, BRT, light rail, Metro)
   - What would your planning strategy be to increase this mode of transportation in your city? (For example- bikes paths, transit oriented development, new roads)
   - How could it be financed?
   - What type of legislation or regulatory changes would it require?

4. **Present bar charts**
   - Each groups presents their bar charts and explains:
     - Where would it be most needed?
     - How would it benefit your city most? (congestion, sprawl, emissions, etc).
     - Would it make transportation more accessible and/or affordable? How? For whom?
     - What is the first step to take in making it happen?

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**Public Transport Options**

- **Metros** have capacity of moving up to 60,000 passengers per hour (in one direction), travelling at 30-40 km/h.

- Bus Rapid Transit (with platforms, to speed boarding and exclusive lanes) can move up to 40,000 passengers per hour, travelling at 20-30 km/h.

- Light rail carries up to 12,000 passengers per hour, travelling at 20 km/h.

- A busway can move up to 20,000 per hour travelling at 20 km/h.

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**Sample transportation bar chart**

- Non-Motorized: 12%
- Public Transport: 15%
- Motorized: 61%
- Other: 12%

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**Configuration**

- **Group exercise**
- **Time**: 5 min . ppt introduction by facilitator (1)  
  20 min . barchart exercise (2)  
  20 min . Presentations and reflections (3)  
  **45 min . total**

- **Materials**: One computer per group
module 7

SLUM UPGRADING
EXERCISE 7.1. SHEET 1. NEGOTIATING GAME
STREET-LED SLUM UPGRADING IN AMBEDKAR NAGAR

1. Exercise Overview
   • Introductory ppt to explain context of the simulation game

2. Assignment of Roles
   • Participants will each pick one of the 10 roles representing the different municipal officers and stakeholders/players
   • In addition there is a need for two observers and two assistants
   • Participants only get to read their own role description, not the roles of others

3. Assignment of Roles
   • Players get handouts of sheet 1-6 and three maps:
     1. Existing situation
     2. Municipal Proposed Interventions
     3. Blank Map
   • They study the government proposal and their role

4. First Round Negotiations
   • First round negotiations start, lead by the municipal officer

5. Coffee Break
   • Coffee break and opportunity for participants to find allies to develop alternative plans, ideas and proposals

6. 2nd Round Negotiations
   • 2nd round negotiations start, lead by the municipal officer

7. Reporting Back
   • Report final result back by Mayor’s representative (10 min)
   • Report by the two observers (10 min each)

8. Reflections & Lessons Learned
   • What are the main challenges in a street-based slum upgrading process?
   • Give an example of different and sometimes even conflicting interest of inhabitants
   • Give an example of tensions between the public and public collective and the public and the private
   • How is the 3PA relevant to this? In which aspects would a more integrated planning approach make it easier to come to an agreement that is acceptable for everyone and where, in the best scenario, everyone benefits or at least does not loose?

**Configuration**
- Role Play Exercise

**Time**
- 10 min. ppt introduction by facilitator (1)
- 5 min. Assignment of roles (2)
- 10 min. Study proposal and role (3)
- 30 min. First round negotiations start (4)
- 30 min. Coffee break and find allies to develop alternative plans (5)
- 40 min. Second round of negotiations (6)
- 30 min. Report back by Mayor’s representative & observers (7)
- 20 min. Reflections on learning objectives (8)
- **3 hours total**

**Materials**
- Printed & cut out handouts sheet 1-6 and 3 sets of maps for each participant, Three sets of A1 size prints of maps, Flipchart

The Case - Ambedkar Nagar
- The municipality wants to implement a citywide upgrading programme through a street-led approach.
- The mayor and his team of experts have selected the slum Ambedkar Nagar for implementation of a pilot project.
- When the government reaches an overall agreement, it will invest and start the upgrading, if not it will pull out and the project will not take place.
EXERCISE 7.1 . SHEET 2 . STREET-LED SLUM UPGRADE IN AMBEDKAR NAGAR

Proposed Upgrading Plan
Ambedkar Nagar

Widening and upgrading of selected roads and open spaces and install waste collection points

Specific improvements in three selected streets:

• Provision of street lighting;
• Widened and paving, thereby stimulating mixed use along the streets;
• Improving connection to neighboring areas;
• Creation of public open space;
• Installation of new waste collection points

Note: proposed interventions may require demolition and resettlement

Upgrading Ambedkar Nagar
The Planning Process

Mapping/inventory exercise by municipal planning department to identify the properties (residential and commercial) types of businesses, houses, existing roads, services and unoccupied spaces

Municipal Planning Department has based on the mapping/inventory exercise, indicated potential intervention and priority areas

Municipal Planning Department has now called a meeting to present the proposed interventions to the community and the different stakeholders for comments and alternative suggestions.

About Ambedkar Nagar

• In existence for 25 years
• Land that belongs to the municipality.
• Most residents are low-middle income people living here because they could not find affordable housing on a central location
• A new industrial zone is located just South of the slum
• In the middle of the slum are a couple of workshops operated by tanners, potters and coppersmiths.
• There are also small shops: convenience shops, teashops, a butcher, tailor, barber mobile repair and a video lending library. They mostly operate from their homes but also rent space from other plot owners.
• Some residents work in the nearby shopping mall but the majority of people finds employment outside the slum as daily laborers or in government jobs.

Municipal Representatives

Mr. Singha – Deputy Head of the Municipality (representative of the Mayor)
Mrs. Seth – Assistant to Deputy Head of the Municipality
Mr. Abijhat – Budget Officer
Mrs. Punti – Legal Department

Key players/stakeholders in Ambedkar Nagar

Mr. Abijhat – Owner Tea-Shop
Mrs. Faswhi – Owner Convenience Store
Mr. Padmadhar – Cigarette Seller
Mr. Das – Landlord & Businessman
Mr. Paramita – Owner Leather tanning workshop
Mrs. Shanti – School teacher
Map 2: AMBEDKAR NAGAR government proposed upgrading interventions
Map 1: AMBEDKAR NAGAR existing situation
EXERCISE 7.1 . SHEET 3 . STREET-LED SLUM UPGRAADING

ROLE DESCRIPTIONS . MUNICIPAL TEAM

Municipal representatives

The mayor has selected AMBEDKAR NAGAR slum for implementation of a pilot slum upgrading project. AMBEDKAR NAGAR was selected as pilot because of its location and the fact that the land belongs to the municipality.

Another important factor is the mayor’s intention to use the upgrading process to legalise tenure, start charging ground rent and enforce stricter pollution control rules on the tanners, potters and coppersmiths workshops to eventually incentivise them to relocate to the nearby industrial zone.

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**Mr. Singha – Deputy Head of the Municipality (representative of the Mayor)**

**Responsibility:**
The Deputy Head will chair all meetings and inform participants of the results of negotiations.

**Profile:**
You have been working on this project for years. You are a big advocate of street led upgrading. First legalise tenure and then follow with sanitation, better infrastructure. Your priority is to widen the roads to improve traffic flow in and around Ambedkar Nagar. You would like to see more non-polluting commercial activities and more parking spaces to stimulate commercial use. You envision earning back the investment through property and business tax as well as parking fees.

**Nice to know:**
Your ambition is to become the next mayor and its very important to score on this project

You are a ‘friend’ of Mr. Das. He often invites you for tea in one of his many establishments. He expects you to keep him up to speed on recent developments and share confidential information. In return he is a very generous friend to you, treated your daughter to very nice overseas honey moon when she got married.

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**Mrs. Seth – Assistant to Deputy Head of the Municipality**

**Responsibility:**
To take notes of the proceedings ad assist your boss Mr. Singha

**Profile:**
You”ve not been in this job very long. Your previous job was in the environmental department. You have prepared all documentation to be tabled and you are well aware of the importance of this project for your boss.

**Nice to know:**
You are nature lover and active member of ‘Friends of the Earth’

When you were still at the Environmental Department you once visited the Ambedkar Nagar primary school as part of an educational programme where you met Mrs. Shanti, the school teacher.

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EXERCISE 7.1 . SHEET 4 . STREET-LED SLUM UPGRAADING
ROLE DESCRIPTIONS . MUNICIPAL TEAM

Municipal Representatives
The mayor has selected AMBEDKAR NAGAR slum for implementation of a pilot slum upgrading project. AMBEDKAR NAGAR was selected as pilot because of its location and the fact that the land belongs to the municipality.

Another important factor is the mayor’s intention to use the upgrading process to legalise tenure, start charging ground rent and enforce stricter pollution control rules on the tanners, potters and coppersmiths workshops to eventually incentivise them to relocate to the nearby industrial zone.

Responsibility:
You been asked to sit in this meeting as Ambedkar Nagar is in your district.

Profile:
You have only recently been informed of this plan. You’ve never been to Ambedkar Nagar. You’re very sceptical, as budget for the required investments is 2 million lak, and you don’t see an increased tax base as sufficient justification to earn back the investment.

Nice to know:
You are a very active member of the democratic party, a different political party than the mayor.

Mr. Abijhat –
Budget Officer

Mrs. Punti –
Legal Department

Responsibility:
Your overall responsibility throughout the municipality is regularising security of tenure and home improvement, and you’ve been asked to sit in this meeting as Ambedkar Nagar is in your district.

Profile:
You have made a site visit to Ambedkar Nagar and see the potential of the area. You only have one agenda and that is to legalise tenure for both shops and business as soon as possible.

Nice to know:
You have another meeting scheduled that is of great importance to you, so don’t have a lot of time and
EXERCISE 7.1 . SHEET 5 . STREET-LED SLUM UPGRAADING
ROLE DESCRIPTIONS . RESIDENTS

Mrs. Faswhi –
Owner Convenience Store

Responsibility:
As long time resident and owner of a popular convenience store, you’re the informal spokes person for Ambedkar Nagar. You have studies the plans extensively

Profile:
You’re pro-legalising tenure, but you do not want any major changes as you want to avoid displacement and resettlement. But in case resettlement is unavoidable you want to be resettled in Ambedkar Nagar or very close to it. You’re critical of the green/open spaces in the plan as you anticipate displacement.

You don’t want the connecting road on to the shopping mall going next to Mr. Das shop,

Nice to know:
You are a very active member of the democratic party, a different political party than the mayor.

You’re not a big fan of Mr. Das as he is taking over too much of your business.

Mr. Abijhat –
Owner Tea-Shop

Responsibility:
As owner of a popular teashop, you’re the main representative of the local small business sector.

Profile:
You want to be connected to the upgraded main road and they also lobby for smaller roads to be paved and better connected to the main upgraded road. You’re also very keen to get street lighting to be installed throughout the area so that their business can go on till late at night and women can go out for shopping in the evening.

Nice to know:
The waste disposal point is right next to your teashop, so you would not mind this to be relocated

Mr. Padmadhar –
Cigarette Seller

Responsibility:
You’re an ordinary small business man who rents a space from a landlord and holds no (informal) right to property.

Profile:
You’ve heard that the municipality is going to regularize tenure of residents. You don’t not want to be evicted by your land lords. You are worried that eventually with improved roads and investments in housing, will trigger increasing rent will lead to gentrification and the poor will be pushed away.

Nice to know:
You belong to the same political party as Mr. Abijhat, the Budget Officer
EXERCISE 7.1. SHEET 6. STREET-LED SLUM UPGRADING
ROLE DESCRIPTIONS. RESIDENTS

Mr. Paramita – Owner Leather tanning workshop

Responsibility:
You’re a relative newcomer to Ambedkar Nagar, but you ‘own’ multiple properties that you rent out to workers. Your also have a mobile phone/pawn, it covers two plots.

Profile:
Next to and opposite your house there are two unoccupied plots that you would like to convert into parking spaces for your customers. Also you want the road in front of your shop to be widened and paved. This road will improve the connection to the shopping mall. You want the leather tanners, copper smiths and potters to move as they creates a lot of nuisance.

Mr. Das – Landlord & Businessman

Nice to know:
You acquired your second commercial plot after buying out your neighbor, a cousin of Mr Paramita, the latter tanning workshop owner.

In the past weeks, you’ve actively talked to shop-owners to vote in favor of your plan.

You are well connected with some politicians and especially the deputy head of the municipality Mr. Singha is your ‘friend’

Mrs. Shanti – School teacher

Responsibility:
You’re a primary school teacher in Ambedkar Nagar, you know most of the mothers of the children who go to the school.

Profile:
You want speed limits, more green and playgrounds for children. You are worried that traffic will increase; you want to be involved in the selection of streets for widening so that through traffic can be avoided. You want to ensure that proper lighting of all streets, public toilet blocks and open spaces is part of the upgrading plan, even if part of the road improvement budget has to be cut.

Nice to know:
When se was still at the Environmental Department Mrs. Seth – the Assistant to the Deputy Head of the Municipality - once visited your school as part of an educational programme.
1. Exercise Overview
   - Break into groups by city
   - Observe the contributing and vulnerable effects of cities on climate change

2. Draw two sets of barcharts
   - Draw two barcharts (one contributing and one vulnerable) that reflect the effects of climate change in your city

3. Reflect on barcharts
   - Look at your barcharts and reflect on the following questions:
     - Exposure: How is your city exposed to changes in the climate today and how it could be in the future?
     - Sensitivity: How will these changes affect people, places, institutions and sectors today and in the future?
     - Adaptive Capacity: How well could these affected people, places, institutions and sectors respond and adapt to climate change impacts?

4. Present barcharts
   - Each group presents their barcharts and explains: what Legal, Financial and Planning resources and capacity do they have and need to adapt?
World Café Notes

WHAT ARE WORLD CAFÉ CONVERSATIONS?
World Café is an easy-to-use method for creating a living network of collaborative dialogue around questions that matter in service to real work. Cafés in different contexts have been named in many ways to meet specific goals, for example Creative Cafés, Strategy Cafés, Leadership Cafés, and Community Cafés. World Café conversations are based on the principles and format developed by the World Café, a global movement to support conversations that matter in corporate, government, and community settings around the world. These notes are adapted from The World Café Community Foundation. For more information visit www.worldcafe.com.

WHAT’S ESSENTIAL ABOUT THE WORLD CAFÉ METHOD?
The World Café Community Foundation has outlined a series of guidelines for putting conversation to work through dialogue and engagement. If you use these guidelines in planning your meetings and gatherings, you’ll find you are able to create a unique environment where surprising and useful outcomes are likely to occur. A World Café is always intimate, even when it scales to very large numbers.

WORLD CAFÉ GUIDELINES: SEVEN DESIGN PRINCIPLES
The World Café format is flexible and adapts to many different circumstances. When these design principles are used together they foster collaborative dialogue, active engagement, and constructive possibilities for action.

1) Set the Context
The reason why we are conducting this World Café is that we want to facilitate the participants to think how they can do their work differently after spending time at this ‘Fundamentals of Urbanisation” training. It is important that all participants join in and feel free to add to the conversation.

2) Create Hospitable Space
Set tables around the room in a way that creates a welcoming atmosphere. At each table four to five people should be able to have an enjoyable conversation. The number of tables therefore depends on the number participants. Each table has a paper tablecloth, or a large sheet of paper for notes and a number of markers. Each table will have a host, which can be a participant. The host will facilitate the conversation in a open, inviting and safe manner. When people feel comfortable to be themselves, they do their most creative thinking, speaking, and listening.

3) Explore Questions that Matter
The slides introduce three questions that are relevant to the training and use a progressively deeper line of inquiry through three conversational rounds. It depends on the time available if the trainers will decide to focus on all three or just one most relevant question. The questions are action oriented and have the intention to lift the energy and a ‘can do’ attitude.
ANNEX 6
World Café Notes

Question 1: Which of the lessons that you have learned over the passed days are most relevant and applicable for your daily job?
Question 2: What can and will you do differently in your job as of tomorrow?
Question 3: What are the critical success factors that will enable you to continue doing your job differently?

Each round of questions will take maximum 10 minutes of conversation. The host will facilitate the conversation and will take notes. The trainer will keep track of time.

4) Encourage Everyone’s Contribution
As leaders we are increasingly aware of the importance of participation, but most people don’t only want to participate, they want to actively contribute to making a difference. It is important to encourage everyone in your meeting to contribute his or her ideas and perspectives, while also allowing anyone who wants to participate by simply listening to do so.

5) Connect Diverse Perspectives
After each conversation of 10 minutes, participants will move to other tables. They will move freely, but are encouraged to continuously mix themselves into new groups. This gives the opportunity to link the essence of your discoveries to ever-widening circles of thought and is one of the distinguishing characteristics of the Café. As participants carry key ideas or themes to new tables, they exchange perspectives, greatly enriching the possibility for surprising new insights.

6) Listen Together for Patterns & Insights
Listening is a gift we give to one another. The quality of our listening is perhaps the most important factor determining the success of a Café. Through practicing shared listening and paying attention to themes, patterns and insights, we begin to sense a connection to the larger whole. Encourage people to listen for what is not being spoken along with what is being shared.

7) Share Collective Discoveries
Conversations held at one table reflect a pattern of wholeness that connects with the conversations at the other tables. The last phase of the Café, often called the “harvest”, involves making this pattern of wholeness visible to everyone in a large group conversation. Invite a few minutes of silent reflection on the patterns, themes and deeper questions experienced in the small group conversations and call them out to share with the larger World Café Design Principles group. Make sure you have a way to capture the harvest.