Chapter 1: BACKGROUND

I. Objectives

Cities and territories need to be properly planned to unleash their full potential, but many lack effective strategies and tools to benefit from such spatial planning. Planning methods are too often inadequate for addressing the many challenges which are associated with urban expansion, particularly in developing countries. Initiated by UN-Habitat as part of its work-programme, the International Guidelines on Urban and Territorial Planning (UTP) intend to provide a global framework for improving policies, plans and designs for more compact, socially inclusive, better integrated and connected cities and territories that foster sustainable urban development and are resilient to climate change.

The rationale behind the development of these Guidelines can be summarized in a few goals:

- Develop a universally applicable reference framework for national urban policy reforms,
- Capture universal principles from national experiences that could support the development of a diversity of tools and approaches adapted to different contexts and scales.
- Complement and link other international guidelines aiming at fostering urban development
- Raise the urban and territorial dimensions in the development agendas of central and local governments.

The International Guidelines on UTP should be seen as a complement and an operationalization of two sets of guidelines previously adopted by the Governing Council of UN-Habitat. The Guidelines on Decentralisation (2007) have been designed as a catalyst for policy and institutional reforms at national level to empower local authorities and improve urban governance. They are policy-oriented and have been used as a reference in a number of countries. The Guidelines on Access to Basic Services for All (2009) have been designed to provide an enabling framework for improved partnerships in the delivery of basic services at city level. They are process-oriented and have been adapted to the national conditions of various countries. The new Guidelines on UTP should also be designed as a universal framework, a reference document integrating the three dimensions of urban
policy principles (why to plan?), management processes (how to plan?) and technical products (which urban and territorial plans?). By doing so, they would facilitate the application of the two previous sets of international guidelines.

“Planning is a process to achieve the goals and objectives of national development through the rational and efficient use of available resources. Thus, plans must include clear goals and adequate policies, objectives and strategies along with concrete programmes” (Vancouver Action Plan, 11 June 1976). The common definition of planning is indeed straightforward: to make plans for the future in order to realize strategic objectives, e.g. economic development plans to foster economic growth. From the outset objectives need to be clear, understandable and realistic, and available and potential resources should be identified. Planning is then both a technical tool and a political process to translate a vision into reality. Territorial Planning is broader than Urban Planning as it could concern any size and type of territory, from regions and nations to local neighborhoods. It is also about coordinating plans at different institutional levels in order to promote territorial cohesion and facilitate the development of integrated infrastructure projects. It usually addresses at least two essential components, land-use and physical infrastructure, and aims at organizing them to promote a sustainable and orderly development of the concerned territories.

Territorial plans are geographically defined and intend to organize the physical space. They cannot pretend to systematically achieve spatially balanced development but should guide the distribution of human activities within specific territories. Indeed territorial disparities are inevitable as production cannot spread smoothly and tends to concentrate in cities, and territorial planning should take this fact into account. On the other hand equitable living standards have to be sought, particularly by facilitating labour mobility, communication and connectivity. Therefore territorial planning should be mainly seen as a guide for human settlements and infrastructure development and not as a miraculous instrument which will smoothly bring all countries on the path of sustainable development. Besides, many cities and towns are already in place and growing fast. Consequently urban planning can rarely start from scratch, it has to focus on urban extensions and municipal revitalization and has to take the existing settlement pattern into account. Territorial planning should not have unreasonable ambitions.

II. Historical background

Conventional urban and territorial planning has been increasingly under criticism in many countries, where it has proven to be ineffective in contributing to the prevention of environmental degradation, shrinking public spaces, the formation of slums, as well as transport and mobility failures and lack of coordination among basic services. Many cities have outgrown their original plans and face lagging services and housing. Moreover, in many regions the development of cities is only partially planned and surrounded by vast areas of informality and unplanned settlements. Inadequate urban design also wastes valuable space and hinders its effective use. There is indeed an urban and territorial planning crisis in various parts of the world: the randomly built city is inefficient and needs increasing resources to be made more functional and livable. Systems of cities
are not always properly connected and articulated with their hinterlands due to the lack of appropriate regional planning rendering them dysfunctional or poorly coordinated. Only cities and regions able to embrace different patterns of growth, including low-carbon development, and address inequalities and inefficiencies can provide better lives for their inhabitants, while limiting ecological damage and enhancing their identity.

In fact conventional urban planning or master planning almost disappeared from the mid-1980s, particularly in least developed countries. Many reasons explained this decline:

- In terms of process, master plans were designed by bureaucrats and experts, generally underestimating the political, economic and social dynamics of the city. City planning was a top-down technocratic exercise, similar to economic planning.

- In terms of product, urban plans were essentially spatial zoning and land-use maps, not associated with investment planning and resource mobilization.

- In terms of implementation, urban planning was generally blind on institutional issues such as the relationship among ministries, between central and other levels of government, and among local authorities facing common challenges. It did not associate long-term goals with daily city management constraints and short-term priorities.

- In terms of strategy, urban planning tried to go around the need for policy and legal reforms, and often unquestioningly accepted existing situations. Consequently, it failed to address the root-causes of many urban problems. As a result of these limitations, many Master Plans were simply not implemented.

The international debt crisis of the early 1980s dealt a fatal blow to traditional master planning as structural adjustment programmes (SAPs) were imposed in many developing countries. Under SAPs, governments had to slash social spending, including on basic services, in order to repay their debt. Urban planning became almost irrelevant as there was no resource to implement the plans. Urban growth was then mainly shaped by occasional, post-facto and uncoordinated infrastructure investments in such contexts of weak planning systems.

Planning came back through the environmental window in conjunction with the Earth Summit held in Rio de Janeiro in 1992. UN-Habitat was one of the agencies that re-appraised urban planning and subsequently introduced participatory planning and management as an element of good urban governance. At the Istanbul City Summit (1996), while urban planning did not figure as a key issue in its own right, it was in fact subsumed under the broader urban governance framework which emerged as the main outcome of Habitat II. The Habitat Agenda however recommends, *inter alia*, “to develop innovative methods of urban planning and design” (para. 109), “to establish sustainable urban land-use patterns and planning, and (...) to promote the integration of land-use, communications and transport planning” (para. 113).

A new planning approach was then expected to follow the following principles:
• In terms of process, urban plans should be prepared in a democratic way, involving civil society organizations and all concerned stakeholders. Experts should mainly play a facilitating role.

• In terms of product, Strategic Plans or City Development Strategies (CDS) should replace master plans. The focus should be on a shared vision for the city (linking social development, economic productivity and environmental protection) and on multi-partner action plans to translate this vision into reality by addressing priority issues.

• In terms of implementation, local authorities should be in the driving seat as the level of government closest to the citizens. Powers and resources should be decentralised and local capacities strengthened. Planning and urban management should be closely integrated.

• In terms of strategy, planning should be considered as a tool, its effectiveness dependent directly on the quality of the urban governance system. Good governance and appropriate urban policy would almost automatically lead to good planning.

Several countries and cities have demonstrated that this type of planning was feasible provided it is focused, locally-owned and politically supported. It has been promoted by international organisations and adopted by several developed and emerging countries. It is however a rather complex process requiring discussions, commitment and continuity in leadership, as well as adequate capacities at different levels. This process could be affordable by least developed countries (LDCs) which lack institutional capacities and financial resources, if they adopt clear and practical strategies. An emerging trend is to apply the strategic integrated planning approach to different territorial scales, from neighborhoods to metropolitan regions and to include it in a common and articulated framework in order to address issues complementarily, mobilize stakeholders at their level of interest and conduct an overall bottom-up and top-down iterative process to take into account community and local concerns in upper level plans as well as translate broader city concerns at very local scales. Such approach also facilitates cooperation among territorial administrative entities facing similar challenges.

In many countries, the challenge is to identify and promote a simple approach to urban planning, i.e. an approach that would generally respect the above mentioned principles while simultaneously focusing on top priorities considered as essential for guiding urban development. This concept could be described as an “affordable participatory planning”. By definition, it should not be comprehensive but selective:

• The process should mobilise civil society and political organizations in the definition of the vision (“the city we want”) and priority areas (“hotspots”) through popular consultations, but it should go beyond the vision and identify precise and scheduled actions;

• In terms of product, it should usually prioritise infrastructure development with emphasis (especially in LDCs) on primary road and water and energy networks, and on pricing of services and municipal finance;
• Implementation should include a strong component on institutional strengthening, particularly at the local level;

• The strategy should preferably be associated with a review and possible reform of urban governance legislation, rules and practices in order to ensure that it is translated into appropriate legal instruments effectively implementable by concerned stakeholders.

Experience shows that any successful planning requires maximum political commitment to ensure impact and sustainability. With such commitment, urban planning can certainly be affordable and useful. But planners should accept to play a well-targeted role in the management of urban affairs. Planning capacities have to be built at all levels and be associated with a better political understanding of the challenges of sustainable urban development.

In this regard it is worth noting that the World Planners Congress, held in 2006 in Vancouver in conjunction with the third session of the World Urban Forum, agreed that there was an urgent need to reinvent planning based on a new governance paradigm. It proposed ten principles for this new type of urban planning: (i) promote sustainable development; (ii) achieve integrated planning; (iii) link plans with budgets; (iv) plan with partners; (v) promote subsidiarity and decentralisation; (vi) respond to market demand; (vii) ensure access to land; (viii) develop appropriate planning tools; (ix) be pro-poor and inclusive; and (x) recognize cultural diversity.

III. Current situation

Different types of Urban and Territorial Planning exist and have been tested: Citywide Strategic Planning, Action Planning, Short and long-term Planning, Master Planning, Community Planning, Environment Planning, Regional and Metropolitan Planning, Land-use Planning, etc. They are all supposed to influence the future and they all do in different ways, as even non-implemented plans have an (often unpredictable) impact on the real world, for instance by becoming obstacles to proper planning. In many countries planning methods are hesitating between two types of approach: technocratic and top-down vs. participatory and bottom-up. The former has demonstrated time and time again its ineffectiveness. The latter is making steady progress but is not yet generalized. Successful implementation of plans requires the definition of a solid institutional set-up involving various partners, the adjustment of the regulatory framework (codes/standards/zoning regulations), the association of planning with implementation (city management), the mobilization of financial resources through the fair contribution of different territorial users, and the establishment of an efficient monitoring and evaluation system.

Various recent reports of UN-Habitat provide a useful basis for improving territorial planning practices. A major one is the Global Report on Human Settlements (GRHS) 2009, entitled “Planning Sustainable Cities”.1 It highlights the need to revisit urban planning and to understand the diversity of urban contexts. It particularly recommends innovative approaches: strategic spatial planning, departmental integration, regularization of informal areas, participatory processes and

1 UN-Habitat, Global Report on Human Settlements (GRHS) - Planning Sustainable Cities, 2009
Public-Private Partnerships (PPP). It also recommends to integrate the “green” and “brown” agendas in cities though comprehensive sets of plans covering all basic services, linking particularly public transport and land-use.

A second document is a short guide on Citywide Strategic Planning (2010)\(^2\) which describes a step-by-step approach to the urban planning process:

(i) Political support and leadership,
(ii) Institutional responsibility for managing the process,
(iii) Common understanding of the goals and steps,
(iv) Organizing the process,
(v) Studies and analyses,
(vi) Consultations (workshops) on the vision and objectives of the Plan,
(vii) Participatory preparation of the Citywide Strategic Plan, including of an overall medium-term Action Plan,
(viii) Formalization and endorsement of the Citywide Strategic Plan,
(ix) Marketing the Plan,
(x) Implementing and monitoring.

These recommendations are consistent with the CDS approach promoted by the World Bank and UN-Habitat through their joint Cities Alliance initiative. CDS have been successfully elaborated in several cities but need to be territorialized, i.e. areas where actions are envisaged should be clearly located on the urban map as they were in the old master plans in order to link them with the territorial administrative decision-making framework. This geographical dimension, important for marketing the Plan, has been missing in several City Development Strategies so far.

A third report is a guide entitled “Urban Planning for City Leaders” (2012)\(^3\). This practical document provides local decision makers with the tools to support good urban planning. It emphasizes the advantages of spatial planning and explains how to plan to shape positively the future of a city. It summarizes good practices on ten subject matters including: (i) how to choose the urban pattern, (ii) how to improve access and avoid congestion, (iii) how to provide infrastructure and services, (iv) how to make use of urban planning to generate financial resources and allocate investment, (v) how to create partnerships.

A fourth source of information is composed of four guidebooks\(^4\) that complement each other. Part of a series entitled “Urban Patterns for a Green Economy”, they focus respectively on Working with Nature, Leveraging Density, Optimizing Infrastructure and Clustering for Competitiveness. The first volume looks at how built environments can be planned to operate in collaboration with the natural

\(^2\) UN-Habitat and GLTN, Citywide Strategic Planning, a Step by Step Guide, 2010
\(^3\) UN-Habitat, Urban Planning for City Leaders, 2012
\(^4\) UN-Habitat, Urban Patterns for a Green Economy, 2012
environment. The second one looks at how city planning can achieve appropriate densities and provide alternative forms of mobility to private vehicles. The third guide looks at how infrastructural systems can be conceived to conserve resources and act as catalysts for urban sustainability. The fourth one looks at how city regions can be planned and cooperation between cities can be encouraged to increase competitiveness without wasting local resources.

Spatial decisions related to urban expansion, the urban grid, density and share of public space are strategic by themselves and have a long term impact on urban development, local economies and service delivery. They have been largely neglected in recent urban planning practices where strategic planning and spatial planning have been separated from each other. UN-Habitat, after reassessing CDS as well as traditional planning experiences, recommends to combine the strategic and spatial planning approaches. This Basic Plan approach is particularly useful in bridging the gap between spatial analysis and decisions and the strategic definition of projects and investments. Focusing on some key spatial and strategic elements, the Basic Plan could provide an initial platform to harmonize and make use of spatial opportunities for local development and managed urban growth.

The Guidelines will promote basic urban and territorial planning principles and recommendations that can provide low income countries and cities, as well as countries with higher incomes, with agreed instruments to guide urban growth and improve the quality of existing urban settlements. The Guidelines could be used through the multi-scale continuum of spatial planning, e.g.:

- At Supra-national level: **regional spatial strategies** could strengthen the local development gains from international cooperation in economic and infrastructure development, helping to direct investments and enabling guided expansion of urban areas and the preservation of natural resources.

- At National level: **corridor, basin and national spatial plans** are becoming key tools to leverage investments in infrastructure and resource management for sustainable urbanization. Taking advantage of existing and planned infrastructures, i.e. road corridors, power transmission lines, oil and gas pipelines and railways, the growth of new urban centers can be structured better.

- At City-Region and Metropolitan level: **strategies and city-region/metropolitan plans** (land mosaic, biodiversity, infrastructure, strategic facilities) could be developed for such areas of intense interaction between cities of dynamic urban growth, in order both: 1) to foster economic development through promoting regional economies of agglomeration, and 2) to protect landscape values, reduce disaster risks and the intensity in the use of energy, materials and greenhouse gases emissions in urban development.

- At City and Municipal level: **basic plans for intermediate cities** can help to manage their relations with the rural hinterland and strengthen their market functions as well as identify expansion opportunities and urban areas in need of redevelopment. **Urban expansions and infill plans** shall make provision for rational urban structures that would minimize transport and service delivery costs, optimize the use of land, particularly for low-cost housing schemes, and support the
protection and organization of urban open spaces. **Urban retrofitting plans** can be developed to increase residential and economic densities and develop more compact communities. The approach may include suburban densification, area redevelopment, brownfield development and transit-oriented developments.

• At Neighborhood level: **street development** and **public space plans and lay-outs** can improve urban quality and local resource conservation. This approach will contribute to low carbon economy and to better connectivity, efficiency and integration, as well as to enhance specific physical and morphological characters.

Although cities need to be planned in a way commensurate to the availability of resources and capacities, it is clear that the structure and balance of private and public spaces established today will influence future urban pattern, quality of services and economic activities. Present decisions will have a bearing on city life in the short-run and for generations to come. In promoting pro-poor urban development policies, UN-Habitat intends therefore to monitor “the number of cities and regional authorities that have implemented sustainable urban plans and designs that are inclusive and respond to urban population growth adequately”. The Guidelines will help national, regional and local authorities to move in that direction.

**Chapter 2: ANNOTATED OUTLINE**

In this chapter a general structure of the Guidelines is proposed. Under each section are listed topics that will have to be addressed in the final text. One has to observe that there could be several ways of organizing and presenting the same principles, concepts, and recommendations, and that a certain degree of unavoidable overlaps and repetitions could reinforce the general argument and emphasize some particular recommendations.

I. Introduction

The introduction section should provide the rationale, objectives and background of the International Guidelines, and summarize the drafting process which led to their finalization, including their adoption by the Governing Council of UN-Habitat which is a subsidiary body of the United Nations General assembly. This section would include the following sub-sections:

A. OBJECTIVES
This brief sub-section will provide a definition of UTP. It will present the Guidelines as an instrument to promote good UTP, based on universally agreed principles and national experiences, and as a broad framework to guide national reforms in this crucial area.

B. BACKGROUND

This sub-section will be largely based on chapter 1 of the present introductory report, reviewed and updated at the end of the drafting process. The relations with the previous sets of guidelines would be clarified here. References would be made to the Habitat Agenda and relevant resolutions of the Governing Council of UN-Habitat and of the United Nations General Assembly.

C. PREPARATORY PROCESS

This sub-section will provide a factual description of the steps taken between 2013 and 2015 (see chapter 3 on the proposed roadmap).

II. International Guidelines

This section will contain in due course the official Guidelines, as approved by the Governing Council. The structure below is derived from the commonly accepted way of unpacking the sustainable development agenda by United Nations bodies. It is organized in five sub-sections reflecting the inter-related dimensions of that agenda, i.e. the policy, social, economic, environmental and spatial aspects of UTP. Each sub-section may start with a chapeau stating one or two underlying principles, followed by a series of action-oriented recommendations (typically worded as “Governments and local authorities should…”), based on the model of the International Guidelines on Access to Basic services for All.

The initial draft below is only intended to give a first idea of the content and style suggested for the Guidelines. It will have to be collectively reviewed, modified, improved, during several meetings of an Expert Group convened by UN-Habitat (see chapter 3) and will be finalized by the Governing Council before its adoption through a formal resolution.

A. URBAN POLICY, GOVERNANCE AND PLANNING

Principle: Urban and territorial planning is more than a technical tool, it should be guided by a vision, an overall strategy and a national urban and territorial policy. It represents a core
component of the renewed urban governance paradigm which aims at promoting local democracy, environmental sustainability, social development and economic prosperity.

• National Governments in cooperation with Local Authorities and other partners should:

  (a) Define a National Urban Development Policy as a prerequisite to UTP at all levels. In return UTP will translate this Policy into plans and actions and provide feedback for policy adjustments;
  (b) Take economic planning instruments and cycles into account when preparing Urban and Territorial Plans;
  (c) Link and coordinate urban, metropolitan, regional and national plans and ensure coherence between the various spatial levels of intervention;
  (d) Formally confirm partnership and participation as key policy principles, involve civil society and the private sector in spatial planning activities and ensure that planners play an active and supportive role in the implementation of these principles;
  (e) Establish mechanisms for combining bottom-up and top-down approaches in the preparation of Urban and Territorial Plans;
  (f) Define and implement decentralization and subsidiarity policies and strengthen the role and planning capacities of Local Authorities in line with the Guidelines on decentralization.

• National Governments and sub-national (regional) authorities should promote inter-municipal cooperation frameworks and articulated multi-level governance systems, particularly in large metropolitan areas.

• National Governments and Regional Authorities should support the establishment of inter-municipal institutions for the planning and delivery of infrastructure and services and the financing of related projects.

• National Governments and Local Authorities should associate urban planning and city management with a view to linking upstream planning and downstream implementation and ensuring consistency between long-term objectives and programmes and short-term managerial activities and sectoral projects.

• National Governments should submit to their parliaments, bills that specify that plans have to be approved and updated by concerned Local Authorities and cleared by higher spheres of Government, as appropriate, before becoming legally binding documents.

• National Governments and Local Authorities should ensure that planning documents are legally enforced, particularly regarding the definition and protection of public spaces which constitute an indispensable platform for vibrant city life and a basis for infrastructure development.
• National governments should envisage the creation of an observatory on urban planning patterns and practices that could evaluate and synthesize national experiences and provide technical assistance to local authorities upon request.

B. URBAN PLANNING AND SOCIAL DEVELOPMENT

Principle: Urban and territorial planning should aim at improving the living and working conditions of the peoples and at promoting social inclusion and community bonding.

• National Governments and Local Authorities should design and promote Urban and Territorial Plans encompassing:
  
  (a) A phased spatial framework for the provision of basic services (water, sanitation, waste collection, energy, education, health, public lighting, cleaning…), in accordance with the International Guidelines on Access to Basic services for All;
  
  (b) A strategic guide and map for land and housing development, with special attention devoted to the current and anticipated needs of low-income groups.

• National Governments and Local Authorities should conceive and use UTP to:
  
  (a) Support formal and informal employment generation and poverty reduction, including by reducing commuting time between living, working and service areas;
  
  (b) Promote social and spatial integration and inclusion, particularly through improved access to all parts of the city and territory;
  
  (c) Expand and revitalize public spaces, such as squares, streets and green areas;
  
  (d) Ensure that low-income settlements are upgraded and integrated in the urban fabric;
  
  (e) Improve urban safety, particularly for women and girls.

C. URBAN PLANNING, INVESTMENT PLANNING AND ECONOMIC GROWTH

Principle: Urban and territorial planning should support and facilitate economic growth through the provision of adequate infrastructure, the development of which should follow rather than precede UTP.

• National Governments and Local Authorities should:
  
  (a) Recognize that a major role of UTP is to constitute the mandatory basis for trunk infrastructure development and for the promotion of structuring urban nodes;
(b) Ensure that UTP put emphasis on public transport rather than private vehicles to facilitate citizens’ mobility in an energy-efficient way;

(c) Ensure that UTP includes a clear and detailed component on investment planning, integrating both public and private sectors’ expected contributions to operation and maintenance costs;

(d) Use UTP and associated zoning regulations to mobilize urban finance, particularly through land taxation, and to recover part of the public investment in transport infrastructure.

• National Governments, Local Authorities and their private partners must work together to ensure that UTP coordinates the spatial location and distribution of economic activity, thus contributing to increased productivity, competiveness and prosperity.

• National Governments in cooperation with Regional and Local Authorities should support and plan the development of polycentric urban regions, through the clustering of industries and services, as a strategy to increase specialization, complementarity, synergies and economies of scale among neighbouring cities and with their hinterland.

D. URBAN PLANNING AND THE ENVIRONMENT

Principle: Urban and territorial planning should provide a spatial framework for the protection of the living environment and for integrated and sustainable regional development.

• National Governments and Local Authorities should:

  (a) Use UTP as a basis for land-use and zoning regulations;
  (b) Set standards and regulations for the protection of natural resources, ecosystems and biodiversity hotspots and their sustainable management;
  (c) Apply UTP to identify, revitalize and protect open and green spaces and areas with special ecological or heritage value;
  (d) Integrate waste management into spatial planning, including for the location of landfills and recycling sites.

• Local Authorities should collaborate with service providers and land developers to closely link spatial and sectoral planning and to promote practical synergies between sectors such as water, sewage and sanitation, electricity, telecommunications and transportation.

• National Governments and Regional authorities should use UTP to plan on a regional scale, improve urban-rural complementarities and inter-city relations and synergies, and link urban planning to regional development to ensure territorial cohesion at city-region level.
• National Governments and Regional and Local Authorities should design Urban and Territorial Plans as a mitigation and adaptation framework for energy-efficiency and response to climate change.

• National Governments and Local Authorities should promote compact cities, regulate and control urban sprawl, adopt progressive densification and land market regulations, in order to optimize the use of urban space, reduce the cost of infrastructure and the demand for transport, and limit the footprint of urban areas.

E. SPATIAL PLANNING COMPONENTS

Principle: As a tool urban and territorial planning should combine several dimensions - spatial, institutional and financial - as well as different time horizons. It should be a continuous process resulting in well-defined and enforceable regulations.

• National Governments and Local Authorities should use spatial planning, that may be considered as the practical subset of UTP, as a facilitating tool rather than a rigid blueprint. Spatial Plans should be elaborated in a participatory way and their various versions should be made user-friendly, i.e. be “marketed” to be understandable by the population at large.

• National Governments and Local Authorities should raise public awareness on the concept of UTP that must be understood both as a product (the plans and associated rules and regulations) and a process (the mechanisms to elaborate and implement the plans) at different geographical scales.

• Local Authorities should establish and maintain information databases and mapping systems on land, infrastructure and services and on related needs as a basis for the preparation and revision of spatial plans and regulations.

• National Governments and Local Authorities should preferably elaborate and articulate Urban and Territorial Plans under four main components:

  (a) Vision and phased priorities;
  (b) Spatial plan(s) focusing on land-use and infrastructure development;
  (c) Institutional set-up and
  (d) Financial scenarios.

• National Governments and Local Authorities should ensure that:
(a) Vision and prioritization result from a participatory process involving consultations between all relevant stakeholders and driven by those public authorities which are closest to the citizens;
(b) Land-use planning promotes, _inter alia_, appropriate densification, mixed-use of land and related zoning rules, sufficient public spaces, as well as progressive regulations for land tenure, land registration systems, land transactions and property taxation;
(c) Infrastructure planning deals, _inter alia_, with trunk networks and arterial grids, road and street connectivity, traffic regulations and mobility incentives, relations with basic services and natural risk mitigation;
(d) Land-use and infrastructure planning reflect a holistic approach of the built environment, i.e. address both the retrofitting of existing areas and the development of new settlements and urban extensions.

• National Governments and Local Authorities should elaborate:

  (a) An efficient and transparent institutional set-up to clarify leadership and partnership functions for the implementation of each particular task defined in the Urban and Territorial Plan, as well as coordinating responsibilities (both sectoral and geographical), particularly at inter-municipal level.
  (b) Financial scenarios to specify all expected sources of investment (public, private, others) as well as resource generation and cost-recovery mechanisms (grants, loans, subsidies, donations, user charges, land-based rates, taxes…) to ensure both financial sustainability and social affordability.

• National Governments and Local Authorities should ensure that:

  (a) Land-use and infrastructure planning and implementation are geographically associated and coordinated as infrastructure require land for their development and have a direct impact on land values;
  (b) The institutional and financial components of UTP are closely inter-related and appropriate implementation mechanisms, such as participatory budgeting and multi-level financing schemes, are established for that purpose.

• National Governments should put in place general phasing, updating, monitoring and evaluation systems applicable to spatial plans, possibly through legislative action. Performance indicators should be part and parcel of these systems.

Chapter 3: TENTATIVE ROADMAP
Assuming that the Governing Council at its 24th session (April 2013) passes a resolution requesting UN-Habitat to prepare the Guidelines on UTP and to submit a draft for consideration and approval to its 25th session, the first task would be to establish a Group of Experts which will meet on several occasions to advise the secretariat on the structure, content and wording of the Guidelines. This Group should be geographically balanced to reflect the experience and practice of all regions of the world. It should involve key partners, particularly representatives of local authorities and planners. But it should also be manageable and output-oriented.

Based on the preparatory processes of previous guidelines, it appears that the optimum size for such a group could be in the order of 20-25 participants. Hopefully the majority of these participants could be nominated or proposed by their respective governments. The secretariat would have to ensure a reasonable geographical balance, for instance by allowing a maximum of five participants per region, taking duly into account national specificities, planning achievements and innovations, and availability of relevant information. Representatives of local authorities (two or three) would be nominated by United Cities and Local Governments (UCLG) while representatives of professional planners (two or three) would be nominated by their international associations, in consultation with the secretariat. As a general rule participants will have to cover the cost of their attendance but exceptions might be granted for Least Developed Countries. United Nations bodies (such as UNCRD, UNDP, UNOPS, UNITAR, Regional Commissions…) may also contribute in their areas of competence.

In terms of time schedule, it is considered that the first Expert Group Meeting (EGM) should take place before the end of 2013. The venue will have to proposed by UN-Habitat, for instance through its offices in Brussels or Geneva in order to associate that meeting with targeted fund-raising activities to financially sustain the work on the guidelines. The first EGM will have to adopt the structure and produce an initial draft of the Guidelines (the secretariat may submit a working paper prior to the meeting to facilitate the deliberations).

The second EGM could take place in Medellin, Colombia, in conjunction with the 7th session of the World Urban Forum (WUF), scheduled to take place in April 2014. It may be a bit larger and bring more country experiences, address some controversial views that might have emerged at the first meeting and introduce documented lessons into the revised draft of the Guidelines. It would produce a pre-final draft of the Guidelines which may be circulated to Member States through the Committee of Permanent Representatives to UN-Habitat. A special consultation with United Nations agencies could also be organized during the same session of the WUF.

Then the third and final EGM could take place in Nairobi during the last quarter 2014. It would finalize the guidelines in time for translation and submission to the 25th session of the Governing Council, which will likely be held in April 2015.

It has to be observed that the preparation of the Guidelines will run parallel, as of 2014, with the preparatory process of the Habitat III Conference/Summit, scheduled to take place in June 2016.
The substance of the Guidelines will therefore have to find its way into the major outcome document of Habitat III (“The Urban Agenda”). The same applies to other normative activities currently carried out by UN-Habitat, for instance the preparation of the Global Housing Strategy to the Year 2025.

It will be the responsibility of the secretariat and of the Habitat III Preparatory Committee to ensure full consistency between these various documents. An option would be to include a chapter on urban planning and management in the outcome document of Habitat III that could be directly derived from the Guidelines on UTP. Another option would be to attach the Guidelines as an annex to the outcome document. The Governing Council and the Preparatory Committee will have to jointly decide on the best option and agree on the approval mechanisms.

Following the adoption of the International Guidelines, UN-Habitat (and possibly other international agencies) may be called upon to provide technical assistance to countries which will decide to adapt the guidelines to their national contexts, draft corresponding regulations and bye-laws, and test such normative tools in concrete planning exercises. A set of tools could be designed to support this application process which would have to be monitored and documented, and could feed back into the biennial work-programme of UN-Habitat.