

URBAN SPATIAL
STRATEGIES: LAND MARKET
AND SEGREGATION



HABITAT III POLICY PAPERS





POLICY PAPER 6:
URBAN SPATIAL
STRATEGIES:
LAND MARKET
AND SEGREGATION

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An electronic version of this publication, as well as other documents from the Habitat III preparatory process and the Conference itself, are available for download from the Habitat III website at www.habitat3.org

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Foreword

The New Urban Agenda was unanimously adopted at the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in Quito, Ecuador on 20 October 2016. In December 2016, during the sixty-eighth plenary session of the seventy-first General Assembly, all United Nations Member States endorsed the New Urban Agenda and committed to work together towards a paradigm shift in the way we plan, build, and manage our cities.

The implementation of the New Urban Agenda is crucial for the achievement of the Sustainable Development Goals as well as the Paris Agreement on Climate Change. How we envisage and share our urban spaces ultimately impacts how we address global challenges, and it is in our cities, towns, and villages where actions must be prioritized and operationalized. Over 30,000 Conference participants came together in Quito to discuss this common vision for sustainable development and its effective implementation.

The Habitat III Policy Units were formed to identify policy priorities, critical issues, and challenges, including structural and policy constraints, which would serve as inputs to the New Urban Agenda. They were also tasked with developing action-oriented recommendations for its implementation.

Each Policy Unit was led by two organizations and composed of a maximum of 20 experts with different and cross cutting expertise, each of which were nominated by Member States and stakeholders from all regions. The experts were drawn from various constituent groups and backgrounds, and their selection was guided by geographical and gender balance considerations, as well as qualitative criteria regarding expertise and experience in each relevant policy area.

The Habitat III Policy Papers are the final outcome of the Habitat III Policy Units' work. The Papers served as official inputs to the Habitat III process and were a key part of the formulation of the Zero Draft of the New Urban Agenda. They are also part of the Habitat III legacy and a valuable resource of information and knowledge that various urban actors may find useful in their work on housing and sustainable urban development. The exercise that was carried out with Policy Units and Policy Papers sets a pioneering precedent for future United Nations intergovernmental processes to be not only informed by, but also based on independent expert knowledge.

I would like to express my appreciation to all policy experts and co-lead organizations who provided their insight, expertise, and time to develop the ten Policy Papers. I especially thank the Italian National Institute of Urban Planning (INU) and the Urban Planning Society of China (UPSC) as Policy Unit 6 coleaders for their stewardship in coordinating inputs from policy experts and finalizing the Policy Paper on Urban Spatial Strategy: Land Market and Segregation.

I am grateful for the immense dedication and enthusiasm that the co-leaders and policy experts have shown in taking up the challenge of collecting and consolidating key policy recommendations for the New Urban Agenda. And I would like to express my gratitude by showcasing their key messages towards the New Urban Agenda.



Dr. Joan Clos

Secretary-General of the United Nations Conference
on Housing and Sustainable Urban Development (Habitat III)

Acknowledgements

The Habitat III Secretariat expresses its deep appreciation to Member States that provided financial support for the United Nations Conference on Housing and Sustainable Urban Development (Habitat III): the People's Republic of China, the Czech Republic, the Republic of Ecuador, the Republic of Finland, the French Republic, the Federal Republic of Germany, the Republic of Indonesia, the Republic of Kenya, the United Mexican States, the Federal Republic of Nigeria, the Slovak Republic, the Republic of South Africa, and the Kingdom of Spain.

Our gratitude goes out to local and regional governments that financially contributed to the Habitat III preparatory process and the Conference itself, in a pioneering and unique way: the City Council of Barcelona, the Municipal Government of Cuenca, the Government of the Federal District of Mexico, the Government of the State of Mexico, as well as the city of Surabaya.

We would like to convey special appreciation for the Rockefeller Foundation and the United Nations Environment Programme for their financial contribution to the Habitat III preparatory process and Conference.

The Habitat III Secretariat would also like to express its gratitude to the organizations and institutions which supported the Conference with in-kind funds: the Ford Foundation, the Municipality of Tel-Aviv, the Montreal Metropolitan Community (CMM), and the United Arab Emirates.

We would also like to give special thanks for the in-kind contributions that made the Policy Units a reality by hosting some of the Expert Group Meetings in 2015 and 2016: the Bartlett Development Planning Unit (DPU) - University College London, the CAF-Development Bank of Latin America, the Ford Foundation, the Inter-American Development Bank (IDB), the Korea Research Institute for Human Settlements (KRIHS), the London School of Economics (LSE Cities), the Organisation for Economic Co-operation and Development (OECD), the Union Internationale des Transports Publics (UITP), the United Cities and Local Governments (UCLG), the United Nations Educational, Scientific and Cultural Organization (UNESCO), the United Nations Human Settlements Programme (UN-Habitat), the Urban Innovation Centre – Future Cities Catapult, and the World Bank.

Finally, we would like to convey our most sincere appreciation for the voluntary work of all the Policy Unit co-lead organizations and their representatives, as well as the Policy Unit experts, who enthusiastically and generously shared their knowledge in the elaboration of the Habitat III Policy Papers. Their commitment and extensive time spent preparing the policy recommendations contributed to a vibrant preparatory process and Conference, and are reflected in the New Urban Agenda.



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Acronyms/Abbreviations

AUC	American University in Cairo
CEPACs	Certificados de Potencial Adicional de Construção
CMM	Montreal Metropolitan Community
CO ₂	Carbon Dioxide
DPU	Bartlett Development Planning Unit of the University College London
FAR	Floor Area Ratio
GAP	General Assembly of Partners
GDP	Gross Domestic Product
GHSL	Global Human Settlement Layer
IAGU	Institut Africain de Gestion Urbaine of Senegal
ICLEI	International Council for Local Environmental Initiative
ICT	Information and Communications Technology
IDB	Inter-American Development Bank
INU	National Institute of Urban Planning of Italy
KRIHS	Korea Research Institute for Human Settlements
LSE	London School of Economics
NGO	Non-Governmental Organization
OECD	Organisation for Economic Cooperation and Development
OHCHR	Office of the United Nations High Commissioner for Human Rights
UCLG	United Cities and Local Governments
UITP	Union Internationale des Transports Publics
UN Environment	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UN-Habitat	United Nations Human Settlements Programme
UNISDR	United Nations Office for Disaster Risk Reduction
WHO	World Health Organization



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Introduction

Technical expertise towards the New Urban Agenda

The United Nations General Assembly decided to convene the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in October 2016, in Quito, Ecuador, to reinvigorate the global commitment to sustainable urbanization, and to focus on the implementation of the New Urban Agenda with a set of global standards of achievement in sustainable urban development.

The Habitat III Conference and its preparatory process provided a unique opportunity to bring together diverse urban actors, particularly local authorities, to contribute to the development of the New Urban Agenda in the new global development context after the historic adoption of the 2030 Agenda for Sustainable Development and its Goals, the Paris Agreement on Climate Change, and other global development agreements and frameworks.

In September 2014, during the first session of the Habitat III Preparatory Committee (PrepCom1) held in New York at the United Nations headquarters, the Secretary-General of the Conference, Dr. Joan Clos, presented a report¹ on the preparations for the Conference and launched an innovative, inclusive, and action-oriented preparatory process carried out in four areas: knowledge, engagement, policy, and operations.

In the same report, paragraph 68, it is noted that the work of several Policy Units on thematic areas could facilitate the collection of inputs to the Habitat III preparatory process in an innovative way, ensuring the participation of all actors in the composition of those units.

A Habitat III Strategic Framework was developed based on these four areas, while linkages among the four areas were guided by the principles of innovation and inclusiveness requested by Member States.

¹ A/CONF.226/PC.1/4

FIGURE 1. HABITAT III STRATEGIC FRAMEWORK

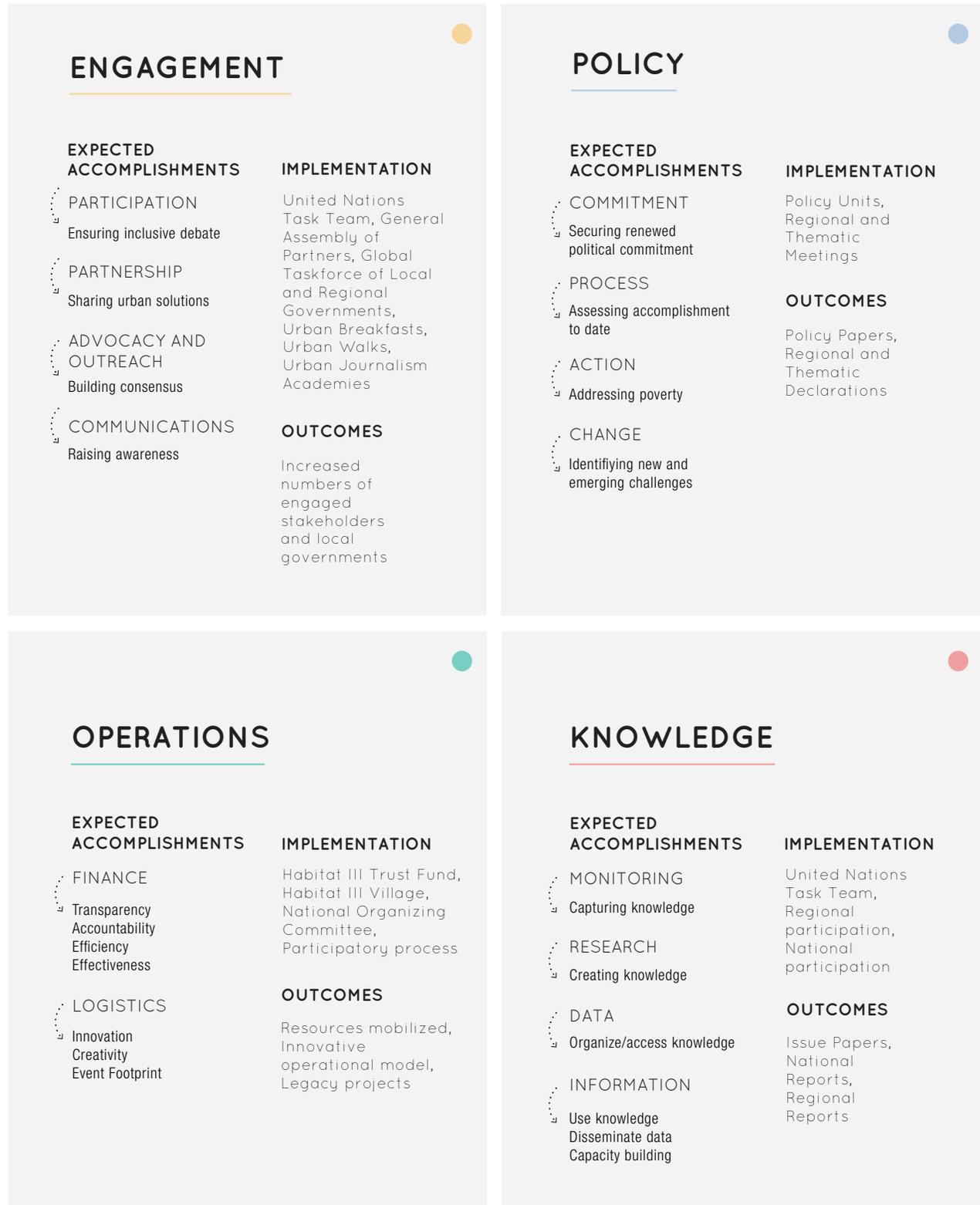


FIGURE 2. EXPECTED ACCOMPLISHMENTS FOR THE HABITAT III POLICY AREA



Establishment of the Policy Units

After PrepCom1, which took place in September 2014, from October to December 2014, the Bureau of the Preparatory Committee proposed the Habitat III Thematic Framework with six thematic areas, 22 Issue Papers and ten Policy Units.

FIGURE 3. HABITAT III THEMATIC FRAMEWORK



AREAS	ISSUE PAPERS	POLICY UNITS
1. Social Cohesion and Equity – Livable Cities	1. Inclusive cities (a.o. Pro-poor, Gender, Youth, Ageing) 2. Migration and refugees in urban areas 3. Safer Cities 4. Urban Culture and Heritage	1. Right to the City and Cities for All 2. Socio-Cultural Urban Framework
2. Urban Frameworks	5. Urban Rules and Legislation 6. Urban Governance 7. Municipal Finance	3. National Urban Policies 4. Urban Governance, Capacity and Institutional Development 5. Municipal Finance and Local Fiscal Systems
3. Spatial Development	8. Urban and Spatial Planning and Design 9. Urban Land 10. Urban-rural linkages 11. Public Space	6. Urban Spatial Strategies: Land Market and Segregation
4. Urban Economy	12. Local Economic Development 13. Jobs and Livelihoods 14. Informal Sector	7. Urban Economic Development Strategies
5. Urban Ecology and Environment	15. Urban Resilience 16. Urban Ecosystems and Resource Management 17. Cities and Climate Change and Disaster Risk Management	8. Urban Ecology and Resilience
6. Urban Housing and Basic Services	18. Urban Infrastructure and Basic Services, including energy 19. Transport and Mobility 20. Housing 21. Smart Cities 22. Informal Settlements	9. Urban Services and Technology 10. Housing Policies

At the second session of the Habitat III Preparatory Committee (PrepCom2), held in April 2015 in Nairobi, Kenya, at the headquarters of the United Nations Human Settlements Programme (UN-Habitat), Member States called upon participating States to support the work of the Policy Units with a goal of facilitating the elaboration of policy recommendations which would contribute, together with the inputs from broad regional and thematic consultations among all stakeholders, to the Bureau of the Preparatory Committee's work in preparing the draft outcome document of the Conference.²

On 8 May 2015, in his capacity as Secretary-General of the Conference and pursuant to the request by Member States to select technical experts -- keeping a balance between Government-nominated technical experts and others and guided by the need for equitable geographical representation and gender balance -- Dr. Joan Clos sent an official letter encouraging Member States of the United Nations to support the work of the Policy Units by nominating suitably qualified technical experts to constitute ten Policy Units in order to facilitate the elaboration of policy recommendations. Stakeholders were also invited to nominate experts. The terms of reference for co-lead organizations and experts were shared on the Habitat III website, as well as the selection process and criteria details (see Appendixes A, B and C).

Over 700 nominations were received from Member States as well as stakeholders' organizations, including experts from academia, national and local governments, civil society, and other regional and international bodies. A selection process based on the set criteria such as expertise, gender balance, and geographical representation was completed in close consultation with the Bureau of the Preparatory Committee.

A total of 20 appointed organizations, two per Policy Unit, were selected based on their expertise in the subject area given the specific topic of the Policy Unit, participation and engagement in other intergovernmental processes and/or global development frameworks, and diversity in their constituent groups. The co-lead organizations also contributed technical, financial, or in-kind support to the work of the Policy Units.

A maximum of 20 experts per Policy Unit were also selected, including at least one expert on gender issues and one on children and youth. Each Policy Unit had at least one expert from a Least Developed Country.

² See 1/1205 resolution at A/CONF.226/PC.2/6.

FIGURE 4. HABITAT III POLICY UNITS CO-LEAD ORGANIZATIONS

AREAS	POLICY UNITS	CO-LEAD ORGANIZATIONS
1. Social Cohesion and Equity – Livable Cities	1. Right to the City, and Cities for All	<ul style="list-style-type: none"> • ActionAid • CAF-Development Bank of Latin America
	2. Socio-Cultural Urban Framework	<ul style="list-style-type: none"> • Institut Africain de Gestion Urbaine of Senegal (IAGU) • United Nations Educational, Scientific and Cultural Organization (UNESCO)
2. Urban Frameworks	3. National Urban Policies	<ul style="list-style-type: none"> • Organisation for Economic Co-operation and Development (OECD) • United Nations Human Settlements Programme (UN-Habitat)
	4. Urban Governance, Capacity and Institutional Development	<ul style="list-style-type: none"> • LSE Cities, London School of Economics and Political Science • United Cities and Local Governments (UCLG), facilitating the Global Taskforce
	5. Municipal Finance and Local Fiscal Systems	<ul style="list-style-type: none"> • Lincoln Institute of Land Policy • World Bank
3. Spatial Development	6. Urban Spatial Strategy: Land Market and Segregation	<ul style="list-style-type: none"> • National Institute of Urban Planning of Italy (INU) • Urban Planning Society of China (UPSC)
4. Urban Economy	7. Urban Economic Development Strategies	<ul style="list-style-type: none"> • Bartlett Development Planning Unit (DPU) - University College London • Korea Research Institute for Human Settlements (KRIHS)
5. Urban Ecology and Environment	8. Urban Ecology and Resilience	<ul style="list-style-type: none"> • The Rockefeller Foundation • United Nations Environment Programme (UN Environment)
6. Urban Housing and Basic Services	9. Urban Services and Technology	<ul style="list-style-type: none"> • Association of German Cities • Union International des Transports Publics (UITP)
	10. Housing Policies	<ul style="list-style-type: none"> • Habitat for Humanity • Inter-American Development Bank (IDB)

The Habitat III Secretariat and the co-leaders organized several virtual meetings throughout the work of the Policy Units from September 2015 until the end of February 2016 in order to strengthen coordination, clarify matters of the required work, and prepare for the face-to-face Expert Group Meetings, and for more substantive discussions and decision-making on the contents of the Policy Papers.

A total of 20 Policy Unit Expert Group Meetings were organized from November 2015 to February 2016, and hosted by some of the co-lead organizations or key partners of the Habitat III preparatory process. Participants of the Expert Group Meetings were composed of policy experts and co-leaders and coordinated by the Habitat III Secretariat.

FIGURE 5 - HABITAT III POLICY UNITS LIST OF EXPERT GROUP MEETINGS

Policy Unit	City/Country	Dates	Hosted by
Policy Unit 1	Lima, Peru	24-25 November 2015	CAF-Development Bank of Latin America
	Bogota, Colombia	27-28 January 2016	CAF-Development Bank of Latin America
Policy Unit 2	New York, USA	25-27 January 2016	The Ford Foundation
	Paris, France	22-25 February 2016	UNESCO
Policy Unit 3	Paris, France	12-13 November 2015	OECD
	Incheon, Republic of Korea	15-16 December 2015	UN-Habitat; Korea Research Institute for Human Settlements (KRIHS)
Policy Unit 4	London, UK	15-16 December 2015	LSE Cities, London School of Economics and Political Science
	Barcelona, Spain	10-12 February 2016	United Cities and Local Governments (UCLG), facilitating the Global Taskforce
Policy Unit 5	Washington DC, USA	20-22 January 2016	World Bank
	London, UK	15-16 February 2016	Urban Innovation Centre – Future Cities Catapult
Policy Unit 6	Barcelona, Spain	16-17 November 2015	UN-Habitat
	New York, USA	4-5 February 2016	The Ford Foundation
Policy Unit 7	London, UK	3-4 December 2015	Bartlett Development Planning Unit (DPU) - University College London
	London, UK	9-10 February 2016	Urban Innovation Centre – Future Cities Catapult
Policy Unit 8	Bangkok, Thailand	23-24 November 2015	The Rockefeller Foundation
	Paris, France	25-26 January 2016	OECD
Policy Unit 9	Barcelona, Spain	17-18 November 2015	UN-Habitat
	Brussels, Belgium	11-12 February 2016	Union Internationale des Transports Publics (UITP)
Policy Unit 10	Barcelona, Spain	19-20 November 2015	UN-Habitat
	Washington DC, USA	27-29 January 2016	Inter-American Development Bank (IDB)

First outcome: Policy Paper Frameworks

All the Policy Units identified challenges, policy priorities, and critical issues as well as developed action-oriented recommendations for the implementation of the New Urban Agenda. The Policy Paper Framework was based on the template provided by the Habitat III Secretariat (see Appendices D and E) and submitted by the end of December 2015. It was also published online on the Habitat III website.

Official comments on the ten Policy Paper Frameworks by Member States and stakeholders were received by the end of January 2016, and also made available on the Habitat III website as a contribution to the policy process towards Habitat III. The co-lead organizations and experts took the feedback and comments into consideration to further work on the elaboration of the Policy Papers.

Comments from the perspective of the United Nations were also shared by the United Nations system through the United Nations Task Team on Habitat III (see Appendix F).

FROM MEMBER STATES

- Argentina
- Brazil
- Colombia
- Ecuador
- European Union and Member States
- Finland
- France
- Germany
- Japan
- Mexico
- Myanmar
- Netherlands (the)
- Norway
- Russian Federation (the)
- Senegal
- Thailand
- United States of America (the)

FROM STAKEHOLDERS

- Caritas International
- Ecoagriculture Partners
- Habitat International Coalition
- Helpage International
- Institute for Global Environmental Strategies
- Institute for Housing and Urban Studies, Erasmus University of Rotterdam
- International Council for Science and Future Earth
- Techo
- Union for International Cancer Control
- World Future Council
- World Resources Institute
- World Wildlife Fund

FROM UN AGENCIES

- OHCHR
- UN Environment
- UN-Habitat
- UNISDR
- UN-Women
- WHO



Finalization of the Policy Papers

Throughout the Expert Group Meetings, all ten Policy Papers were finalized and delivered by the Policy Units on 29 February 2016, and published on the Habitat III website. The Policy Papers were the result of collective efforts from the co-leaders and experts who had countless virtual and face-to-face discussions, resulting in critical and action-oriented policy recommendations to feed into the New Urban Agenda.

A formal handover of the Policy Papers to the Secretary-General of the Conference and the Bureau of the Habitat III Preparatory Committee took place during the Habitat III Europe Regional Meeting in Prague, Czech Republic, on Friday, 17 March 2016.

Representatives of the Policy Unit co-leaders and experts met with the Secretary-General of the Conference as well as the Bureau of the Preparatory Committee, and co-lead organizations of the Policy Units were thanked for their dedicated work and support, while the experts of all ten Policy Units were commended for their tireless efforts and the expertise they demonstrated in finalizing the Policy Papers.

Intersessional Process towards the Zero Draft of the New Urban Agenda

Policy Units were further involved as headway was being made in preparations for Habitat III. Furthering its vision for the preparatory process and for the Habitat III Conference to be carried out in an inclusive, efficient, effective, and improved manner, the General Assembly, in its resolution A/70/210, decided to organize five days of Open-Ended Informal Consultative Meetings before the submission of the Zero Draft of the New Urban Agenda in order to provide an opportunity for feedback on the conclusions of the Habitat III Policy Units and the Habitat III Regional and Thematic Meetings.

As part of the Intersessional Process, the Secretary-General of the Conference convened the Policy Units at the Habitat III Open-Ended Informal Consultative Meetings, which took place from 25 to 29 April 2016 at the United Nations headquarters in New York. The meeting brought together over 500 participants representing relevant stakeholders, international organizations, the United Nations system, and governments, more than 120 of which were Policy Unit experts and co-leaders from the respective organizations who participated and acted as moderators, presenters, and panelists over the period of five-day consultations.

The meeting was organized with daily themes on regional perspectives; transformative commitments for sustainable urban development; effective implementation; and how to enhance means of implementation. Co-leaders, in particular, played a significant role in organizing and leading each panel discussion in coordination with the Habitat III Secretariat. Panels aimed to examine the recommendations and outputs of the Policy Papers.



The formal handover of the Policy Papers at the Habitat III Europe Regional Meeting in Prague, Czech Republic



The Habitat III Conference: Policy directions towards the implementation of the New Urban Agenda

Apart from the elaboration of the Policy Papers, the Policy Units continued to contribute to the next stages of the Habitat III process, with their feedback and the Policy Papers actively resonating throughout the development of the outcome document that ultimately articulated the New Urban Agenda at the Habitat III Conference.

With the agreed New Urban Agenda, Policy Dialogue sessions were organized with the leadership of the co-lead organizations during the Habitat III Conference in Quito from 17 to 20 October 2016. The co-lead organizations developed a concept note for the Policy Dialogues which aimed to provide rich and innovative discussions and conversations on the theme of the Conference based on the elaborated recommendations of the respective Policy Papers. The Policy Dialogues, with a particular action-oriented focus on the implementation of the New Urban Agenda, were able to mobilize a variety of actors from all over the world, and provided a unique space to discuss the Policy Units thematic areas.

A unique legacy

The Policy Papers, due to the dedicated work of the Policy Units, were the building blocks of the New Urban Agenda, and contributed to the participatory, innovative, and inclusive manner in which the Conference in Quito took place. The creation of the Policy Units has played a key role in opening new opportunities to build on and to increase the relevance of sustainable urban development as a priority among Member States, the United Nations system, local governments, stakeholders, and other key urban players to implement the New Urban Agenda and achieve its goals together.

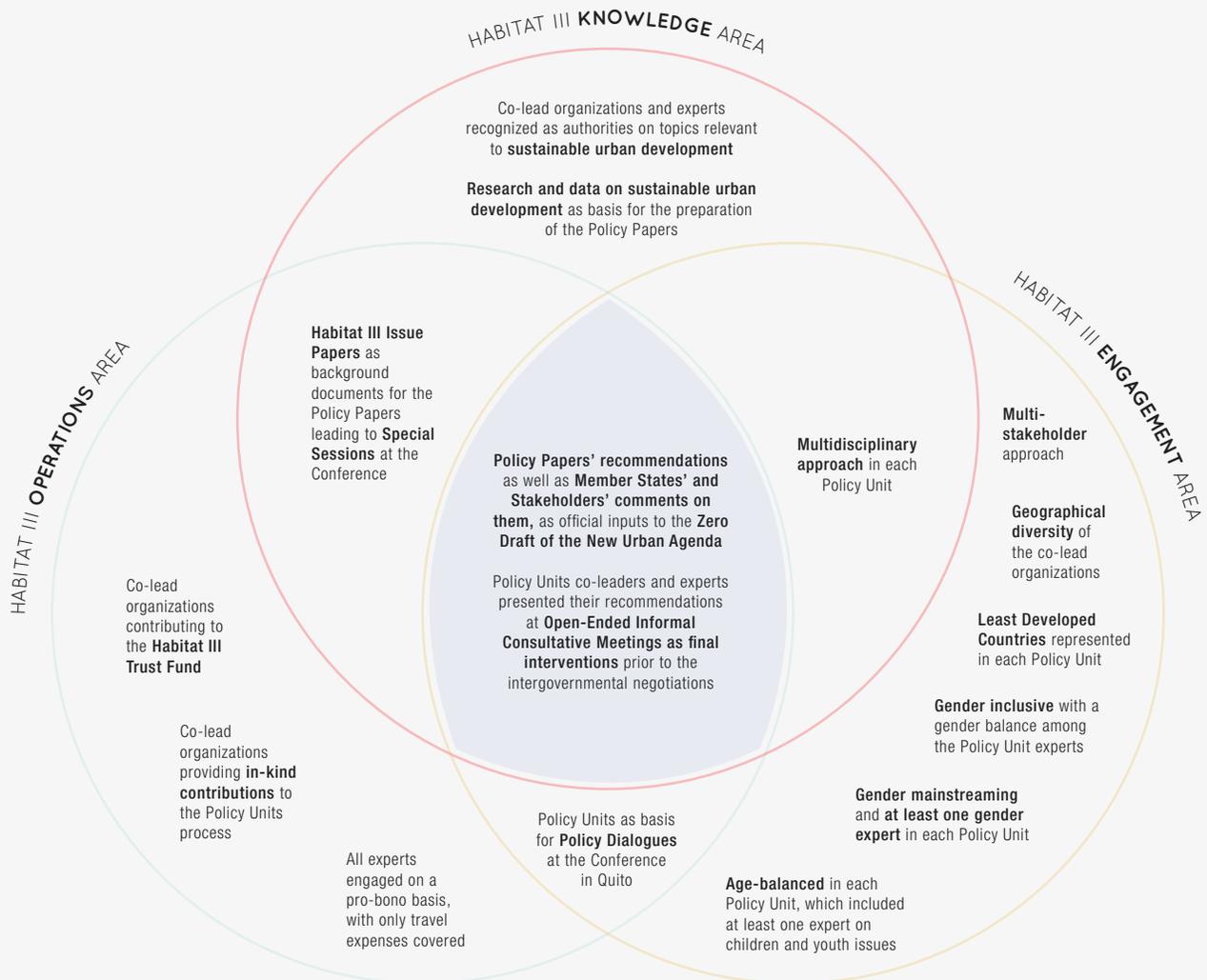
FIGURE 6. POLICY UNITS' ROLE IN THE HABITAT III STRATEGIC FRAMEWORK

Policy was one of the four conceptualized areas, along with knowledge, engagement, and operations, in the Habitat III strategic framework, which laid out the efforts necessary to achieve the goals and objectives of the Habitat III Conference and its preparatory process.

The Policy Area, composed of Policy Units and Regional and Thematic Meetings (see Figure 1), played an important role in providing significant substantive inputs during the Habitat III preparatory process and the formulation of the New Urban Agenda.

The Policy Units brought together 200 experts and 20 co-lead organizations recognized as authorities on sustainable urban development to create ten Policy Papers, which resulted in key building blocks of the New Urban Agenda in an inclusive, innovative, and participatory manner.

Apart from the results of the Policy Units in the Policy Area, each of the Habitat III strategic areas maximized its synergy effect and its role by interacting across and interlinking among the other three areas, ensuring that the entire process in the run up to the Habitat III Conference was integrated. This figure demonstrates how the Policy Units enabled the successful work of the Policy Area, while complementing and contributing to the other areas, with the active involvement of Member States, the United Nations system, local governments, stakeholders, and other key urban experts.







Policy Unit 6 on Urban Spatial Strategy Land Market and Segregation

Co-Lead Organizations

NATIONAL INSTITUTE OF URBAN PLANNING OF ITALY (INU)

Since its founding year in 1930, the National Institute of Urban Planning of Italy (INU) has been constantly pursuing its statutory goals of promoting studies on building and urbanism and disseminating the principles of planning. Its statute, approved by presidential decree in 1949, defines the Institute as “an entity of high culture and technical co-ordination recognized by law”. INU is structured as a free association of bodies and individuals, without a profit motive. On this premise INU continues to pursue its statutory goals of an eminently cultural and scientific nature: research in the various fields of interest of planning, the constant updating and renewal of planning culture and techniques, and the diffusion of social knowledge on such areas as the city, the territory, the environment and cultural heritage.

www.inu.it

URBAN PLANNING SOCIETY OF CHINA (UPSC)

Urban Planning Society of China (UPSC), voluntarily incorporated by urban planners across the country in 1956, is the only legally registered academic and professional organization at state level. UPSC is devoted to organizing international and national academic activities involving urban planning issues, promoting planning knowledge and technologies, providing consulting service to governmental agencies at all levels, publishing planning books, academic papers and other publications, protecting the lawful rights of urban planners, conducting professional development, granting honour and award to distinguished individuals or organizations.

www.planning.org.cn

Co-leaders¹

NATIONAL INSTITUTE OF URBAN PLANNING OF ITALY (INU)

Pietro Garau

Coordinator International Projects, National Institute of Urban Planning of Italy (INU)

Mr. Pietro Garau, an architect, planner, and academic from the Sapienza Università di Roma, worked for twenty years with the United Nations Centre for Human Settlements (Habitat) where he pioneered and led the production of the first Global Report on Human Settlements and later became the head of research. Between 1994 and 1995, he led the Secretariat of the Habitat II Conference. From 2002 to 2005, he co-chaired the UN Millennium Project's Task Force on Improving the Lives of Slum Dwellers and the preparation of its final report titled "A Home in the City". In the academic arena, Mr. Garau taught urban policies at Rome's Sapienza, revived that university's Planning Research Centre for the Developing Countries, and directed courses of higher learning and studios on the Millennium Development Goals, later documented in the book "Barefoot & Prada: Architects and Planners, the Urban Poor and the Millennium City".

For the National Institute of Urban Planning of Italy (INU) Mr. Garau co-organized the first three Biennials on Public Space, of which he is also the international curator, and pioneered and co-steered the process leading to the adoption of the "Charter of Public Space" at the 2013 Biennial. Mr. Garau is the principal author of UN-Habitat's "Global Toolkit on Public Space". His present line of research is on how public space can contribute to mitigating urban inequalities within a comprehensive and participatory planning approach.

Alice Siragusa

National Institute of Urban Planning of Italy (INU)

Ms. Alice Siragusa is a consultant for Pikel Inc. at the Joint Research Centre of the European Commission. Ms. Siragusa collaborated in European Settlement Map project and she recently joined the GHSL Team working on the Atlas of the Human Planet 2016. During the past years, Ms. Siragusa has been collaborating with the National Institute of Urban Planning of Italy (INU) on several activities related to the Sustainable Development Goals and the partnership with UN-Habitat in preparation for the Habitat III Conference. During the three years (2010-2012) collaborating with the Italian Ministry of Infrastructures and Transport, Ms. Siragusa developed skills related to the management of complex projects between private and public stakeholders on infrastructure and regional and urban development. In 2013, Ms. Siragusa had been visitor scholar at the Columbia University in New York City and from 2009 to 2014 she had been a TA in Planning and Urban Design at University of Roma Tre. Ms. Siragusa holds a PhD in Regional and Urban Planning from Sapienza University of Rome, and a Master in Architecture and Urban Design (cum lauda) from the University of Roma Tre.

¹ All biographies of the co-leaders and experts are as of the date of the establishment of the Policy Units in September 2015.

URBAN PLANNING SOCIETY OF CHINA

Shi Nan

Secretary-General and Vice President, Urban Planning Society of China (UPSC)

Shi Nan is the Vice President and Secretary-General of the Urban Planning Society of China, as well as the Vice Director of the National Steering Board for Planning Education, National Commission for Planning Education Accreditation and National Board for Certified Planner System. His 30-year career in the planning area has focused on policy analysis and city master planning, which has seen him actively involved in major planning and research projects including the revision of the National Planning Act of the People's Republic of China, the national Standard for Planning Terminology, as well as innovations in master planning, etc.

In addition, Dr. Nan has worked with major international organizations such as the World Bank, UN-Habitat, UNDP, the British Council, and the Rockefeller Foundations, and is the elected Vice President of the International Society of City and Regional Planners. A respected author of several books, including "the state of China's cities, some observations concerning China's urban development", Dr. Nan's column for the respected academic journal *The City Planning Review*, of which he is the chief editor, is the most popular planning literature in China. Dr. Nan is a professor at universities including Renmin University of China, Harbin Institute of Technology, Nanjing University, Tongji University, and the National Training Center for Mayors of China. His professional background includes his role as the Senior Planner at China Academy of Urban Planning & Design, Advisor to the cities of Guangzhou, Xi'an, Dalian, Harbin, Shijiazhuang, and others. Dr. Nan is also a Council Member of the China Association of Science and Technology.

Experts of Policy Unit 6 on Urban Spatial Strategy Land Market and Segregation

Brigitte Bariol

General Manager - French Federation of Urban Planning Agencies (FNAU)

Ms. Bariol is the Chief Architect and Town Planner for the French State. Since 2011, Ms. Bariol has been the General Manager of the French Network of Urban Planning Agencies, and before that was the General manager of St Etienne urban planning agency and the chief officer of the town planning service for the Ministry of Equipment, as well as an architect and town planner for her private firm. Ms. Bariol has a Master of Architecture as well as a post-master's French State Architect and Town Planner degree. Ms. Bariol is an international expert and was appointed by UN-Habitat to write the International Guidelines for Urban and Territorial Planning, which was adopted at the Governing Council of UN-Habitat in April 2015 in Nairobi, Kenya.

Eugenie Birch

Lawrence C. Nussdorf Professor of Urban Research and Education, University of Pennsylvania

Dr. Eugenie Birch is the Chair of the UN-Habitat World Urban Campaign and the President the multi-stakeholder partnership platform the General Assembly of Partners. Dr. Birch is a professor and the Founding Co-Director of the Penn Institute for Urban Research University of Pennsylvania, and is the co-editor of *The City in the 21st Century* series. Dr. Birch has served in many leadership positions including as the editor of the *Journal of the American Planning Association*, and as the chair of the Planning Accreditation Board, President of the Association of Collegiate Schools of Planning. Dr. Birch has received many awards, including the Lawrence C. Gerken Award in Planning History, the Jay Chatterjee Award, the Margarita McCoy Award, and the Distinguished Educator Award from the Association of Collegiate Schools of Planning. Dr. Birch is also a member of the New York City Planning Commission and on the jury to select designers for the World Trade Center site. Dr. Birch holds a PhD and Master of Urban Planning from Columbia University and an A.B. cum laude in History and Latin American Affairs from Bryn Mawr College.

Luis Eduardo Bresciani

Head of the National Council of Urban Development

Mr Bresciani is an architect and planner with over 20 years of professional and academic experience in the field of urban planning and urban development policies, plans and projects that integrate urban design, policy making, public facilities investment, citizens participation and coordination of government agencies, and is a professor of urban design and planning at the Pontificia Universidad de Chile. Mr. Bresciani was previously the Director of the Department of Urban Development, Ministry of Housing and Urban Development, and the Secretary of Housing and Urban Development for the metropolitan Region of Santiago. In April 2014 he was appointed by the President of Chile as the head of the National Council of Urban Development, a presidential advisory body on urban policies. Mr. Bresciani holds a Master of Urban Design from Harvard University, a professional Architecture degree and a Bachelor of Architecture both from the Pontificia Universidad Catolica de Chile.

Mack Joong Choi

President of Korea Planning Association

Mr. Choi holds a PhD in Urban Planning from Harvard University, a Master of Urban Planning from the University of Illinois, and a bachelor's degree in Architecture from Seoul National University. Mr. Choi has been the Dean of the Graduate School of Environmental Studies at Seoul National University since 2013. Mr. Choi serves as the President of the Korea Planning Association, the senior editor of the *International Journal of Urban Sciences*, and the Executive Committee Member of the Asian Planning Schools Association, and is also a member of the International Panel of Experts for the Urban Redevelopment Authority of Singapore. Mr. Choi has published numerous papers and books in the field of planning and development, and has significantly contributed to major planning and development projects in Korea, while serving as a member of various government committees, including the National Planning Committee and the Urban Planning Committee of Seoul.

Rients Dijkstra

National Advisor on Infrastructure and Cities

Mr. Dijkstra holds master's degree in Architecture and Urbanism from the Delft University of Technology. Mr. Dijkstra is the founder and a design principal of the firm Maxwan, and before this he worked for Architekten Cie and the Office for Metropolitan Architecture. Since 2012 he has been the National Advisory o Infrastructure and the City, advising the Dutch Government on spatial programmes and themes such as coherence in mobility and urban policy. Mr. Dijkstra has an extensive track record working on master plans ranging plans from various neighborhoods and public spaces to infrastructure projects and stations.

Nathaniel Von Einsiedel

Urban Management Specialist

Mr. Einsiedel is a practicing architect and urban planner, currently based in Manila, with over 40 years of experience in urban development and management. Mr. Einsiedel is the head of the organization Assure, a non-profit that was formed to assist the communities affected by typhoon Haiyan, with a mission to help the communities build back better and to make them more resilient and sustainable. Prior to this, Mr. Einsiedel was the regional coordinator for Asia-pacific of the United Nations Center for Human Settlements, UNDP, and World Bank urban management programme where he supervised technical assistance projects in eleven developing countries. He has also participated in both the Habitat I and Habitat II conferences.

Maros Finka

Professor, Slovak University of Technology

With almost thirty years of experience, Mr. Finka has acted as a University professor with long experience and few international experiences for field studies. Mr. Finka is currently a professor and Vice Director at Slovak University of Technology in Bratislava, and before that he was the Director of the Central European Research and Training Center in Spatial Planning at the Center of Excellence EU, and prior to this he was the Director of the Institute of Spatial Planning at the Slovak University of Technology in Bratislava. Mr. Finka is the Chairman of the SPA-CE.NET (Network of Spatial Research Institutions in Central and Eastern Europe) as well as a member of national and international scientific boards, including advisory boards of the Slovak Ministry of Environment and the Slovak Ministry of Transport, Construction, and Regional Development, as well as the Ministry of Inner Affairs of the Federal State of Rheinland Pfalz. Mr. Finka holds a PhD in Spatial Planning and Urban Design, and is widely published in books and international planning journals.

Veronica Katalushi

Representative of Zambia Homeless and Poor Peoples Federation

Ms. Katalushi is a vibrant grassroots woman who has been residing in a slum community in Lusaka, Zambia for 29 years. In 2001 and was among the founding members of the Zambia Homeless and Poor People's Federation. Ms. Katalushi is the National Facilitator for the Federation, and she has pioneered the creation of housing savings schemes in her community and 42 other districts where the Federation is active, and has worked to promote communality mobilization and advocacy for pro-poor policies. Ms. Katalushi has spearheaded work in line with disaster preparedness and projects such as sack gardening, an innovation to growing vegetables in densely populated slums. Ms. Katalushi has further facilitated linkages between the local and central government and has presented at various high level conferences within Zambia, such as the African Ministerial Council on Housing and Urban Development held in Lusaka, 2014, regionally in Kenya, and internationally at the UN Disaster Risk Reduction Conference in Sendai, Japan in 2015.

Karel Maier

Czech University of Life Sciences, Faculty of Environment

Mr. Maier is a professor of urban and regional planning and is the Head of the Institute of Spatial Planning at the Faculty of Architecture, Czech Technical University in Prague. Mr. Maier is a member of the Czech Chamber of Architects, the German Academy for Spatial Research and Planning, and is the Czech national representative in the Association of European Schools of Planning. Mr. Maier holds a PhD in rural settlements and has been working in academia since 1975. Mr. Maier has also worked on policy formulations for the European Commission, and written papers and book chapters on territorial development and European-centric research.

Simon Mesa

Advisor for the Urban Development Office National Planning Department

Mr. Mesa holds a master's degree in Urban Planning from the Institute of Urban Planning at the University of Montreal. Mr. Mesa is currently the advisory for the Head Director of the Urban Development Office in the National Planning Department of Colombia, where he works on the implementation of the System of Cities Policy, and on the structuring of the Sustainable Urban Planning and Sustainable Building Policies. Mr. Mesa has worked as an economic advisory in formulating the Tourism Master Plan for Bogota, and has worked as an advisor and consultant for various ministries, a think tank, and planning projects. Mr. Mesa also contributed to academic seminars and has several publications on urban planning and governance.

Bernhard Muller

Director of the Leibniz Institute of Ecological Urban and Regional Development (IOER) in Dresden

Mr. Muller is the Director of the Leibniz Institute of Ecological Urban and Regional Development in Dresden, the Head of the Management Board of the Dresden Leibniz Graduate School, and holds the Chair of Spatial Development at the Technische Universität Dresden. Mr. Muller is a member of the German National Academy of Science and Engineering, the Saxonian Academy of Sciences, and the Academy for Spatial Research, Hanover, and the Serbian Academy for Engineering Sciences. Mr. Muller has also received the AESOP European Excellence in Teaching Prize from the Association of European Schools of Planning. Mr. Muller has worked as an evaluator and consultant for various commissions and organizations, and his research interests and expertise are in sustainable urban and regional development and spatial planning as well as in issues of resilience and regional adaptation strategies. Mr. Muller has a PhD in Geography from the University of Mainz, and received a doctor honoris causa from the Slovak University of Technology, Bratislava.

Akiko Okabe

Professor, Division of Environmental Studies, University of Tokyo

Ms. Okabe holds a PhD in Environmental Studies from the University of Tokyo. Ms. Okabe was previously a professor at Chiba University, and serves as a key member of the Japanese Council for National Spatial Strategies. Ms. Okabe has studied and worked in Barcelona as well as in Mexico and is fluent in Spanish and English. Ms. Okabe is currently working for a project targeting slum settlements in Jakarta.

Christine Felicity Platt

President, Commonwealth Association of Planners

Ms. Platt is the president of the Commonwealth Association of Planners, and the Past President of the South African Planning Institute. Ms. Platt completed her B.A. in Economics at the University of Natal, Durban, and her Masters of Town Planning degree at the University of Natal in Durban. Ms. Platt has extensive experience in planning, ranging from the local government to the international levels, working at grassroots with local communities, as well as working with international stakeholders at the strategic global level, including around the reformation of the global planning agenda. Ms. Platt has led the preparation of the first Integrated Development Plan for the Mandeni Municipality, rebuilding of the South African Planning profession, convening the Planning Africa conferences, initiating the formation of the African Planning Association, and leading the Commonwealth Association of Planners in a time of strong growth and achievement. Ms Platt is presently in private practice as a consulting town planner, involved in a wide range of consulting work in both the private and public sector.

Dina Shehayeb

Professor, Housing and Building National Research Center

Ms. Shehayeb is a professor and researcher at the Housing and Building National Research Centre (HBRC) in Cairo, Egypt, the principal of her private consultancy firm Shehayeb CONSULT, in addition to being a Board Member of the Informal Settlements Development Fund. She was previously a part-time professor at several universities since 1998, including the Modern Sciences and Arts University, the American University in Cairo, and the Arab Academy for Science, Technology & Maritime Transport in Cairo. Ms. Shehayeb earned her B.Sc and M.Sc. in Architecture from Cairo University, and obtained her PhD degree from University of Wisconsin - Milwaukee, focusing on Environment Behaviour Studies in Urban Design of Public Space. Ms. Shehayeb has extensive experience doing research regarding informal settlements and serving as an expert and consultant on various urban and housing studies for UN-Habitat, GIZ, CARE, UNESCO, and Agha Khan Development Network, among others, and has published extensively.

Martim Oscar Smolka

Latin American and Caribbean Programme, Lincoln Institute of Land Policy

Mr. Smolka is senior fellow and director of the Program on Latin American and the Caribbean at the Lincoln Institute of Land Policy. Since 1995 Mr. Smolka has led hundreds of research and educational programs for high-level public officials, scholars, NGO leaders, and other professionals. Mr. Smolka has authored many publications on the functioning of formal and informal urban land markets, on regularization policies, and land based instruments to finance and promote urban development. Mr. Smolka was previously an adjunct professor at the Federal University of Rio de Janeiro. Mr. Smolka holds a PhD in Regional Science from the University of Pennsylvania, as well as an economics degree from the Pontificia Universidade Catolica do Rio de Janeiro. Mr. Smolka has authored many publications and presided for two terms in the Brazilian National Association for Research and Graduate Studies on Urban and Regional Planning (ANPUR).

Morana Stipisic

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Ms. Stipisic is an architect, urban designer, and planner with experience in production, management, and teaching. Currently Ms. Stipisic is an adjunct assistant professor for the seminar titled "Infrastructure, Resilience and Public Space" at Columbia University's Graduate School of Architecture, Planning, and Preservation. Ms. Stipisic has also co-authored a publication on eco-efficient and socially inclusive infrastructure and is currently working on a publication about resilient urban water infrastructure. Before teaching, Ms. Stipisic worked with the Kohn Pedersen Fox Associates, where she worked on large scale master-planning projects. Ms. Stipisic holds a Master of Science in Architecture and Urban Design from Columbia University as well as a Master of Architecture and Urban Planning from the University of Zagreb, Croatia. She is a LEED accredited professional with the United States Green Building Council and an AIA Associate Member. Ms. Stipisic lectures internationally on topics of sustainable development with a focus on urban infrastructure.

Peter Tyler

Professor, Department of Land Economy, University of Cambridge

Mr. Tyler is a professor in urban and regional economics in the Department of Land Economy at the University of Cambridge, and is a Fellow at St. Catharine's College and a Policy Fellow at the Cambridge Center for Science and Policy. Mr. Tyler has undertaken extensive research in relation to public policy. Mr. Tyler has been a project director for over 70 major research projects for the Government, many of which involved the evaluation of public policy. In addition to his work for HM Government in the United Kingdom, Mr. Tyler has also undertaken research for the European Commission, the Organization for Economic Co-operation and Development, and a number of national governments countries on urban, regional, industrial, and evaluation policy. Mr. Tyler was also made a Master of the Royal Town Planning and a Fellow of the Royal Institute of Chartered Surveyors. Mr. Tyler is currently involved in research regarding urban regeneration and economic development, the long term dynamics of interdependent infrastructure systems, and the evolving economic performance of UK cities.

Shipra Suri

Vice President, International Society of City and Regional Planners (ISOCARP)

Ms. Suri is an urban planner with a PhD in Post-War Recovery Studies from the University of York, UK. Ms. Suri is the Vice President of the International Society of City and Regional Planners (ISOCARP), the Co-Chair of the UN-Habitat World Urban Campaign, as well as the Vice President of the General Assembly of Partners, a platform established to bring stakeholder voices to Habitat III and in the drafting of the New Urban Agenda. Ms. Suri has worked with United Nations agencies including UN-Habitat, UNDP, and UNESCO, as well as other non-governmental organizations such as World Vision International. Ms. Suri is a Visiting Fellow at the Department of Politics, University of York, and is an Editor of the international journal CITY, a member of the global think-tank on livable cities established by Philips, and a member of the Urban Planning Advisory Group (UPAG) set up to advise UN-ISDR on urban planning issues and their relationship with disaster risk reduction.

Ishtiaque Zahir

Architect, Union of International Architects

Mr. Zahir is a practicing architect and urban designer from Bangladesh. Mr. Zahir is also the Founder and Managing Director at Vitti Sthapati Brindo Ltd., architecture and planning practice. Mr. Zahir is a Fellow of Institute of Architects Bangladesh (IAB), and has received any awards, including the highest acclaim from IAB and regional awards including AYA India, and in 2010 one of his projects was nominated for an Aga Khan Award. Mr. Zahir is a representative of the Union of International Architects (UIA), and is a member of the Implementation Task Group of UIA PPC. Mr. Zahir has also been representing UIA in UN-Habitat's World Urban Campaign (WUC). Mr. Zahir engages in a wide range of projects from small housing to large urban development projects, and has collaborated with internationally acclaimed architects as well as local stakeholders.



POLICY PAPER 6
**URBAN SPATIAL
STRATEGIES:
LAND MARKET
AND SEGREGATION**

Executive summary

The guiding principle of this paper is that the organization of space is inseparable from the quest for sustainable development. Inequalities, a growing concern for most countries and the international community, are expressed in the physical segregation of different income, social and ethnic groups and in the substandard conditions of the places where the poor work live and work. The negative externalities caused by haphazard city growth and lack of proper planning such as sprawl, pollution, and traffic congestion are a tremendous burden on the cities' vocation for attracting investment, employment and sustainable growth. The physical segregation of the city according to separate functional areas, such as business, industry and housing, creates dullness, alienation and insecurity. The unregulated functioning of land markets only reinforces the tendency to produce physical separations between urban elites and the rest of the urban population. Sprawl and low density development compete with the preservation of the vital roles of peri-urban and rural areas in feeding larger urban centres and offering sustainable livelihoods to rural residents. Finally, the same physical development model is a major cause of environmental degradation and a major contributor to CO2 emissions far in excess of what wiser spatial organization models would entail.

At long last, the world is awakening to the importance of sustainable urban development. Part of the reason is the media attention around the fact that for the first time in the planet's history, the majority of the world's population live in urban areas. Moreover, United Nations projections indicate that more than nine tenths of the world's total population increase midway into the present century will be living in the cities of today's developing world. This attention and these scenarios are reflected in the fact that the 2030 Agenda for Sustainable Development devotes one of its 17 Sustainable Development Goals and its 10 targets to making cities inclusive, safe, resilient and sustainable.

However, this paper argues that this goal, as well as the inversion of the negative trends described above, can only be reached by vigorous and visionary "urban spatial strategies". They will have to be vigorous because the forces at play are powerful and interested in maintaining the status quo. And they will have to be visionary because the participation and support of people and actors committed to an equitable and just future for all will need a bold and inspiring blueprint of how the city will be structured and organized.

The policy unit focused on six main challenges to act upon in order to produce effective and actionable building blocks for the proposed urban spatial strategies. They are:

- (a) Form and configuration of cities and territories;
- (b) Land policy as a tool to promote equality and secure resources;
- (c) Access to the benefits of urbanization;

- (d) Coordination among different levels of plans and policies and among sectors;
- (e) Provision and distribution of good green and public space;
- (f) Knowledge about balanced territorial development and urban spatial strategies.

Coherently with this choice and with the considerations made above, the Policy Unit has concluded this report with key messages listed below. They have been drafted with the intention of stating, in a way that everybody can easily understand and hopefully subscribe to, the goals described in detail in the main body of the paper.

1. **Urban spatial strategies**
The organization of physical space is key to sustainable urban and territorial development. It can be successfully achieved through fair and comprehensive urban spatial strategies.
2. **Designing the sustainable city**
Compact development and redevelopment on a human scale is the basis for the enjoyment of urban life by all, the satisfaction of basic needs, a vibrant economy and the protection of the environment.
3. **Using land markets to combat segregation**
Appropriate legislation and planning measures can make sure that part of the wealth generated by urbanization processes is shared collectively, providing security of tenure and access to land and services, and combat physical and social segregation and improve the living conditions of the urban poor.
4. **Extending the benefits of urbanization to all**
Urban strategies must guarantee that the benefits and services cities can offer are shared by all, regardless of income, lifestyle, place of residence and type and size of settlement.
5. **Integrating levels, scales and actors of planning**
The integration between levels of planning, sectors and urban and rural development is essential for the success of urban spatial strategies. Useful tools to achieve this goal are available, including the *International Guidelines on Urban and Territorial Planning*.
6. **Shaping the city through green and public space**
Green and public space is what defines the identity and character of a city, expresses its physical structure and provides the lifeline of city life: recreation, mobility, interaction, and togetherness.

7. A global dialogue for sustainable planning

The continuation of a global dialogue on the sustainable organization of urban and rural space will be vital for the successful implementation of the New Urban Agenda and the Sustainable Development Goals. The processes put in place by Habitat III could usefully be translated into continuous activities devoted to networking and the exchange of ideas, experiences, information and good practices.

Section I of the paper — Vision and framework of the policy paper's contribution to the New Urban Agenda — provides a background of the challenge that the rapid urbanizing world has to face. It illustrates the guiding principles that link the policy paper to the New Urban Agenda and defines urban spatial strategies as the key element to achieve the sustainable development of cities and territories.

Section II of the paper (Policy challenges) refers to the six key dimensions recalled above which the Policy Unit identified to design and implement successful urban spatial strategies and describes the factors and constraints that impede their effectiveness.

Section III of the paper (Prioritizing policy options) identifies the policy priorities and critical recommendations required to develop the six dimensions above into viable urban spatial strategies.

This Policy Unit recognizes that all components of society have to be informed and proactive parties in the implementations of the New Urban Agenda. However, section IV of the paper (Key actors for action) identifies those actors who have a key role to play in the design, implementation and monitoring of urban spatial strategies, starting with local governments.

In section V (Policy design, implementation and monitoring) the paper identifies key implementation aspects of the six urban spatial strategy components treated previously. Under finance mechanism, the positive connection is stressed among sound spatial strategies, the policy priorities suggested for the formulation and implementation, and the prospect for mobilizing the means to achieve the Conference's goals in cities. Under monitoring, the paper underlines that the Sustainable Development Goals, and particularly Goal 11, represent a powerful global standard for measuring the achievements of cities and territories in improving the living conditions of all. Sound urban spatial strategies require transparency and accountability in the planning process, which in turn necessitates reliable, open and easily accessible data. A promising development is the availability of free access to remote sense-derived geospatial data.

The final section (Conclusion) contains the seven key messages distilled from the Policy Unit's work.

I. Vision and framework of the policy paper's contribution to the New Urban Agenda

1. A New Urban Agenda framed on strong urban spatial strategies will help alleviate several current and anticipated social, economic and environmental conditions in a world that is 54 per cent urban in 2016 and rising to 66 per cent urban in the next 20 years. Among the most pressing global issues are poverty, inequality and environmental degradation. These concerns are spatially evident in cities and their surrounds in the proliferation of informal settlements and slums lacking basic services; fragmented sprawling urban development on risk-prone or fertile agricultural land; unbalanced territorial development characterized by weak infrastructural links, threatened ecosystems, depleted natural resources and loss of biodiversity.
2. The fact that the World Economic Forum in its 2015 *Global Risk Landscape report* (World Economic Forum 2015) cited "urban planning failure as a risk factor creating social, environmental and health challenges" and the estimation that in 2012, 60 per cent of the built environment to exist in 2030 is yet to be built,¹ underlines the critical importance of making the design and management of the form and configuration of cities and territories the top priority of this paper.
3. With its focus on delineating strong urban spatial strategies that advance integrative and equitable decision-making processes for sustainable urban development, this paper builds on the guiding assumptions of the New Urban Agenda. These assumptions include: its foundation in human rights approaches, antecedents and agreed-upon language from prior United Nations agreements; its universal applicability that leaves room for adaptation by Member States according to their respective values and contexts; its commitment to subsidiarity and partnerships as essential elements in its crafting, implementation, and evaluation; and its belief that achieving sustainable urban development will occur only through the implementation of a robust action agenda including provisions for governance, legislation, finance, monitoring and knowledge creation. In particular, this paper draws on the frameworks and guidance offered by the 2030 Agenda for Sustainable Development, including Goal 11 (Make cities and human settlements safe, inclusive, resilient and sustainable) and related Goals, and the *International Guidelines on Urban and Territorial Planning* (UN-Habitat 2015a).

¹ Secretariat of the Convention on Biological Diversity 2012 as cited in issue paper 8.

4. The strong urban spatial strategies must address six challenges now present across the world:
 - (a) Unsustainable form and configuration of cities and territories;
 - (b) Land: failure to use land policy as a tool to promote equality and secure resources;
 - (c) Inequitable access to the benefits of urbanization;
 - (d) Poor coordination among different levels of plans and policies and among sectors;
 - (e) Inadequate and uneven provision and distribution of good green and public space;
 - (f) Incoherent and disassembled knowledge about balanced territorial development and urban spatial strategies.
5. Addressing these challenges calls for explicit, broadly conceived and executed urban spatial strategies focused on the sustainable use of land and space, provision of basic services and the equitable functioning of land markets. Examples of these strategies include development of national urban policies to ensure balanced territorial development within a nation, the crafting of regional and urban plans (with strategic guides, physical maps and plans — land use, public space, transport — and implementing regulations tied to capital expenditures for infrastructure investment), the using of land value capture mechanisms to share collectively the increments generated by public investments in infrastructure.
6. This process will require empowering communities through the identification and legal recognition of the roles, rights and responsibilities of key players in the appropriate sphere of government and civil society and the alignment of the interests of national, regional and local government and promoting stakeholder partnerships that cross-jurisdictional boundaries and disciplines.
7. The effective execution of these recommendations calls for focused financing and monitoring practices informed by knowledge creation and sharing.
8. Urban spatial strategies are key to the implementation of a New Urban Agenda. They have to address, in particular, the problem of social segregation caused by the way urban land markets operate, and the role of spatial planning providing tools for an integrated and sustainable urban development.
9. Nevertheless, looking at these issues, one has to also consider closely related problems which may be relevant in specific cases. Among them are weak legislation, weak governance, including insufficient political will and leadership, weak rule of law, lack of transparency and accountability in land acquisition and development, lack of value capture of public resources invested in infrastructure, land market failures and speculation, fragmentation of planning tools, uncontrolled sprawl, as well as inefficiency of land registration and cadastral systems.
10. With these issues in mind, urban spatial strategies can be defined as “spatial strategies which aim towards social and spatial integration and inclusion in cities, dealing with form and systems of cities, through the promotion of socially diverse neighbourhoods, accessibility to jobs, access to serviced land at affordable prices, as well as quality public space, including sufficient green spaces”.
11. Spatial strategies are the product of participatory processes. They require well-functioning instruments of governance. They should encourage reflecting values and priorities as well as contribute to building and enhancing institutions in order to frame actions towards sustainable development.
12. Spatial strategies are key to the pursuit of sustainable development since they aim at saving land, protecting the environment, and organizing space in order to minimize waste and energy use and guarantee adequate living and working conditions to all regardless of their social and economic conditions.
13. Urban spatial strategies towards sustainability comprise and require strategic guide, physical plans and maps (e.g. on land use, housing, transport, and the environment), regulations for social housing and related land use, strategic instruments for planning and implementation as well as an institutional framework which is conducive to sustainable development (UN-Habitat 2015a).
14. Urban spatial strategies are framed by four key elements: (a) legal basis (e.g. constitutions, charters, regulations and codes); (b) organization (i.e. structural organization, e.g. responsibilities of actors such as ministries, courts, technical agencies at the national, regional and local levels, as well as procedural organization, e.g. the organization of planning, implementation and monitoring processes); (c) strategic urban planning and design (e.g. national urban policies; regional/metropolitan, city, neighbourhood plans and programmes, including strategic environmental assessments); and (d) implementation mechanisms, including finance.

Guiding principles

1. Human rights approaches will be the foundation of the New Urban Agenda

15. The unanimously adopted Vienna Declaration and Programme of Action states that democracy, development, and respect for human rights and fundamental freedoms are interdependent and mutually reinforcing. Human rights standards contained in, and principles derived from, the Universal Declaration of Human Rights and other international human rights instruments have to guide all development and programming in all sectors and in all phases of the planning and, first of all, the integrative planning activities and documents — the content, design and development of urban spatial strategies.

2. The New Urban Agenda will build on antecedents and agreed-upon language from prior United Nations work

16. The Habitat Agenda will build on its heritage and then go on to more recent global agreements, some of which directly address cities and human settlements and others that imply the crafting and implementation of urban spatial strategies as essential to their success. First among them is the 2030 Agenda, notably Goal 11 and key targets, among others. For example, some 69 per cent of the targets require local action.

3. The New Urban Agenda will be universally applicable to nations around the world

17. The New Urban Agenda will be universally applicable to nations around the world, providing clear guidance for Member States on urban issues, while still leaving room for adaptation to national circumstances developed according to national needs, levels of development and other contextual considerations.

4. Subsidiarity and partnerships are essential elements in the crafting, implementation and evaluation of the New Urban Agenda

18. The New Urban Agenda recognizes subsidiarity and partnerships in the development, crafting and implementation of urban spatial strategies — it assumes that each tier of government and each sphere of governance have a role to play in the area of urban spatial strategies as defined above. This reinforces the importance of

multi-party partnerships — vertical, horizontal, cross-jurisdictional and cross-disciplinary — with rights and responsibilities clearly defined in the crafting and implementation of urban spatial strategies in the New Urban Agenda.

5. Evidence-based research drawn from the knowledge, expertise and experience of multiple stakeholders should inform the New Urban Agenda

19. A commitment to crafting mechanisms to support the creation of policy based on knowledge, expertise and experience of multiple stakeholders is critical for the conception, implementation and monitoring/evaluation of the New Urban Agenda.
20. This principle is reinforced repeatedly in the *International Guidelines for Urban and Territorial Planning*, which calls for “the advancement of research-based knowledge on urban and territorial planning” (p. 12) and throughout has references to the need to “develop new tools and transfer knowledge across borders and sectors that promote integrative, participatory and strategic planning” and “translate forecasts and projections into planning alternatives and scenarios to enable political decisions” (p. 26).

II. Policy challenges

A. Unsustainable form and configuration of cities and territories

21. As documented in Habitat III issue papers 8, 9, 10 and 11 and other references,² current urban development patterns offer five challenges related to the form and configuration of cities and territories, that are not being met by the today's governance systems. These challenges result in losses to economic productivity, they heighten inequality and threaten the environment.³ They are: (a) inefficient land consumption expressed spatially in the worldwide rise of urban sprawl and an associated decline in density,⁴ a phenomenon that causes inter alia higher costs for transport, WASH, reduction in the economic benefits of agglomeration, the degradation of ecosystem services, and the diminishing of resilience (Litman 2015); (b) the concomitant growth of unserved informal settlements, often in risk-prone locations, in the developing world⁵ and the hollowing out of central cities in the developed world; (c) The lack of balanced and integrated territorial

² United Nations Task Team on Habitat III 2015c; United Nations Task Team on Habitat III 2015d; United Nations Task Team on Habitat III 2015a; United Nations Task Team on Habitat III 2015b and see for example Angel et al. 2010.

³ See “deficient planning and infrastructure can reduce business productivity by as much as 40 per cent” (United Nations Task Team on Habitat III 2015c, p. 1) and “Globally, there is insufficient knowledge on the dynamics of small and intermediate cities where half of the world's urban people live, making them a missing link in understanding the dynamic of urban-rural interactions.” (United Nations Task Team on Habitat III 2015a, p. 3).

⁴ “In developing countries an average of 6 out of 7 cities experienced a decline in density, while in higher-income cities, a doubling of income per capita equated to a 40 per cent decline in average density. Cost of sprawl in the United States alone is estimated to cost \$400 billion per year mostly resulting from higher infrastructure, public services and transport costs.” (United Nations Task Team on Habitat III 2015c, p. 2).

⁵ See issue paper 8 — Urban and spatial planning and design, p. 2 “the insufficient provision of an adequate number of well-connected serviceable plots has contributed to the increase of informal urbanization, with over 61 per cent of dwellers in sub-Saharan Africa, 24 per cent in Latin America and 30 per cent in Asia informally occupying land, often in high-risk areas”.

development, or well-synchronized linkages along the continuum of urban to rural development, exacerbated by the neglect of small and medium-sized cities and absence of planning and management capacities; (d) the absence of adequate, well-designed public space at all scales — national, regional, local and neighbourhood — needed to accommodate transport, water/sewerage infrastructure and community facilities — such as schools and health clinics — and to provide public parks for social congregation, recreation and livelihoods; (e) the neglect of available urban design solutions capable of achieving, at the same time, quality of life, social harmony, economic viability and minimizing environmental impact.

22. In most countries, urbanization trends are unsustainable. Land is being consumed at a far greater proportion per inhabitant than it should (UN-Habitat 2015c, fig. 1); emerging lifestyles cause an inordinate use of non-renewable resources; and this excessive consumption, far from creating better living conditions for all, only accentuates the inequities between the haves and the have-nots.
23. A key driver of these unsustainable trends is the form and configuration of current urbanization patterns, that is, the way urbanization occupies space. Metropolises, cities and towns expand for long distances in their rural hinterlands. Large portions of rural land are acquired, subdivided into lots and built upon, with the profits going to often unscrupulous entrepreneurs, with the onus of basic infrastructure, public transport and essential services falling on local governments. Detached individual dwellings have high energy needs, and the very low density of most new developments discourages public transport and determines the need for private transportation to access goods and services. Remoteness and poor public transport impact most seriously children, young people, women and the elderly. Many new developments take the form of the so-called “gated communities”, enclaves secured by walls and barriers. These are examples of “deliberate segregation”. In contrast, poorer inhabitants are pushed into poorly served developments even farther away from the city, or reduced to living in slums or other unauthorized informal settlements. This is a form of “forced segregation”: the “gated community” mechanisms are reproduced, but as a stigma, rather than a sign of distinction and social status. From an economic point of view, sprawling urbanization determines even higher maintenance costs in infrastructure development and maintenance on one hand, and in transport and in physical connectivity on the other. The costs of traffic congestion alone are an enormous burden to rural, urban and national economies. Many subsistence farmers are literally swept away in this process, determining the twin negative consequence of new rural-urban migration and the loss of close and healthy sources of food for the city.
24. Similar challenges are found in urban renovation projects in the existing city, where well-planned and designed older neighbourhoods are often replaced by expensive and exclusive developments dwarfing the human scale and causing new segregation. These projects show

how compactness and density, however desirable, do not guarantee in themselves the equitable and sustainable city urban dwellers aspire to.

25. Efforts at planning new urban space in a socially, economically and environmentally responsible way are often wasted by the impetus and power of this relentless urbanization model. Clearly, market-led urbanization patterns are not the safe way to secure a sustainable urban future. They have to be tempered and guided by robust public spatial strategies and plans indicating the most energy-efficient, environmentally friendly and socially responsible forms of accommodating growth into space.

B. Land: failure to use land policy as a tool to promote equality and secure resources

26. In third-world cities, typically two thirds of the population cannot afford housing supplied by the formal market, with private housing developers favouring higher-income groups. In these cities, about 90 per cent of the housing deficit is concentrated on families in the bottom seven deciles of income distribution. Fiscally poor local governments tend to concentrate public investments in infrastructure and services in selected areas attractive to business and a more highly qualified labour force in their quest to enhance their economic base. With affordable (lower-priced) land only available in areas where commuting costs are high (fringes), urban infrastructure and services are lacking; building is often risky (due to legal conditions or terrain conditions: steep, flooding, etc.); low-income settlements tend to be excluded from urbanization benefits. Thus, the typical structure of third-world cities with neighbourhoods second to none found their equivalents in the developed world, side by side with areas (the majority) lacking basic services, sewage, paved streets, health centres (if any) and the like.
27. In most cities in the world, the main institution/mechanism to allocate land is the land market. The process is simple: households and businesses with a higher capacity to pay for sites with the desired attributes (e.g. good-quality services, ambience, good access and safe and attractive neighbours) are in a better position to secure them. The process through which land is procured by different social groups tends to be self-reinforcing in that higher-income families favour the segregation of lower-income groups and are willing, and able, to pay more for property that guarantee them their desired “proper neighbours” but also the supporting urban infrastructure and services they demand. The resulting social exclusion is, *prima facie*, the result of a legitimate process that does not depend on deliberate market price distortion as such. Legitimate as it may be, from a market perspective, the outcome is that the apparent ability of land markets of being “neutral” in generating a fair and efficient allocation of land to all users is compromised. In effect, land market outcomes can also arise when land values are affected by public

actions. This is the case of the public provision of urban infrastructure and services or zoning and other land-use regulations put in place to neutralize or control the effects of negative or positive externalities.

28. Moreover, since property taxes tend to be higher in higher-value areas and higher-income groups have greater influence on local politics, public investments in urban infrastructure and services tend to favour such areas. The result is that in many countries well-served and enjoyable neighbourhoods sit alongside other ones that lack the most basic services and infrastructures. These contrasts are reflected in dramatic differences in land prices but, more importantly, they revealed a structural incapacity of the market to ensure a sufficient supply of serviced land at affordable prices, particularly for those who are most in need.
29. In effect, serviced land in cities of the developing world tends to be relatively more expensive (often even in absolute terms) than in the cities of advanced countries.
30. To reduce the land-cost component, and adhere to the payment capacity of the users, social housing programmes thus tend to favour peripheral locations and projects that often result in large-scale dormitories characterized by relatively poor urban services.
31. Moreover, poorly planned and serviced urban-sprawl private developments often end up increasing the costs of urban infrastructure and services for the wider urban area of which they are part.
32. The alternative social housing “solution” of upgrading existing more centrally located informal settlements, in the form of curative regularization programmes, typically costs two to three times as much as the provision of new urban infrastructure and services on the edge of the city. While there are clear benefits from such programmes, a very real problem is that incoming families to such improved settlements may be relatively exploited by property owners, some of whom may be pre-existing, now-tenured occupants (doubling as landlords). This often leads to overcrowding in often unsuitable terrains (hill slopes, unstable soil, etc.), which in itself furthers the spatial separation of social groups and may aggravate environmental risks.
33. All of these considerations clearly emphasize the importance of well-thought-through spatial planning.
34. The challenge is to break the vicious circle of social exclusion that arises from the above-mentioned land and property market processes. Traditional public approaches consisting in the development of centrally located large tracks of land (through public acquisition, use of fiscal land, etc.) have often generated new ghettos with all their well-known negative consequences. Alternative programmes designed to occupy interstices of the city with social housing tend, in no time, to be “colonized” by higher-income neighbours. Attempts to control transactions to ensure the permanence of the original targeted low-income occupiers often fail.
35. The challenge, therefore, while preserving the institution of land market and associated land property rights, is to curb the power of landowners who normally seek to secure the land use that gives them the greatest return but also prevents the more socially inclusive use of land.
36. On the other hand, the public acquisition of land is facing increasing costs and publicly managed processes of land allocation may also be costly, prone to corruption and other forms of political manipulation. In addition, it is important to improve the finance capacity of the public sector to guide urban development, especially when it comes to the provision of urban infrastructure and services.
37. Finally, yet importantly, a coherent land-use spatial strategy should revisit the social costs and benefits of publicly promoting social housing in cheaper locations and ensure the best use of relatively scarce public funds. Key issues here are how best to subsidize the provision of social housing in more “inclusive” areas (perhaps with a higher per unit cost but with better quality), and assess the relative advantages of capturing higher land value increments from elitist developments.

C. Inequitable access to the benefits of urbanization

38. Urban spatial justice brings together social justice and space as well as the concepts of environmental justice and equity. These include concerns of environmental sustainability, and the spatial overlap between racial discrimination, the spatial patterns this produces, and the coupling of these spaces with industrial pollution, socioeconomic exclusion, and susceptibility to natural hazards.
39. Developed countries are the most urbanized and developing countries are following suit. Rapid urbanization is a challenge, but can also be seen as an enhancing opportunity, since the function of cities is mainly to provide diversity, choice and a concentration of opportunities for exchange and change resulting in different forms of human development. The benefits of planned urbanization include quality services of all kinds, diversity of income sources, affordable access to opportunities for human development, social interaction, leisure, participation in governance. Quality of life exists, and should be ensured, in non-urban (rural) areas, but the opportunity to develop is afforded more by the diversity and choice characteristic of city life.

40. When, however, cities provide higher income but often even higher costs of living; when they provide diverse services that are inaccessible; when housing projects lack the components that make them liveable; when prevalent modes of transportation are not affordable, or safe, and they pollute the air, then the ills outweigh the benefits. This is often the result of poorly managed cities, lacking in urban planning tools that govern their dynamics and transformation (for example in densities, land use, urban morphology) and in public control of the planning functions and the protection of the public good and collective interests, and long-term gains.
41. Another associated factor causing weak and poor urban planning and management is the privatization of urban development within and around the city. This manifests itself in many forms, from urban sprawl that causes the loss of agricultural land and ecosystems, or unplanned overcrowding of informal settlements, or urban demolition/forced evictions of other portions of the city.
42. Fragmented urban sprawl by different income groups substitutes integrative spatial planning; isolated mega projects for high-income groups take the form of gated communities and suburban developments; and unauthorized development by middle- and lower-income groups. Both private-led, peri-urban development patterns are unplanned; both are disconnected, lacking the “public” dimension in all urban components, and the integrative networks including public space connectivity that is necessary to unblock the potential of urbanization.
43. Formal GDP-led and carbon-based/car-oriented spatial planning aggravates the problem, denying the poor the right to benefit from the city, reinforcing social segregation and deterring the realization of the social mix that leads to economic prosperity and social tolerance. Such planning is resource depleting, wastefully using land, energy, time and money. For the poor, it becomes a burden that impoverishes them/exacerbates their poverty.⁶
44. Segregation of land-use planning is still enforced in many developing countries despite evidence that shows its contribution to increased travel time, energy consumption, air pollution, and social segregation in the case of insufficient and unaffordable connectivity (public means of transportation). Adopting “strategic planning” has not solved these problems because of limited spatial awareness that is detrimental and continues to lead to unsustainable spatial patterns.
45. The increasing gap between the overall wealth generated by cities and its redistribution affects the equitable sharing of the benefits of urbanization (UN-Habitat 2012). Disparity in distribution of public funds, technical and administrative support between urban and rural areas is a main cause of migration to cities with opportunities for a better life. In some countries, wealth generated by informal economies goes unrecognized and therefore not supported by financial or administrative mechanisms to help it grow (in Egypt, for example, informal activity accounts for 40 per cent of the national economy).
46. Social and spatial segregation is often associated with increased vulnerability/exposure to risk; because of locations exposed to environmental and natural hazards, scarcity of relief and emergency systems, and marginalization that can be easily manipulated by power-seeking groups and individuals to be used to instigate conflict and unrest.
47. Media and “trendsetters” glorify unsustainable lifestyles and urban forms emphasizing certain urban benefits, while stigmatizing much of the traditional practices, including “rural” lifestyles, that may be more sustainable socially, economically and environmentally.
48. Public space is the urban element that is most inclusive, yet there is low awareness of the benefits of public space-driven development among stakeholders, both policymakers and the general users/population at large. The problem is that the consumers (those who buy or rent in formal and informal developments) of today do not demand any quality public space from the land developers. The challenge here is the low level, on the demand side, of public space, in terms of its quantity, quality, and diverse functions that is accepted as an integral component of adequate living conditions.
49. In some countries, where laws and regulation are kept vague to encourage informality and decrease accountability, the informality financially benefits governments as it saves their provision of public space, services, transportation and infrastructure on the one hand, and ensures a regular source of revenue whether channelled formally through “fines” or informally through corruption (hassling and bribes) (AUC — School of Global Affairs and Public Policy and UND 2013).
50. Conventional urban planning is blind to “place identity”, i.e. the social, cultural, and psychological value of urban form and public spaces; there is low sensitivity to diversity in lifestyle which is the characteristic that distinguishes across the rural-urban continuum irrespective of size. Moreover, cities are also a depository of cultural heritage that reinforces national identity. The global economic model struggles to take such considerations into account.

⁶ In Egypt, for example, the 22 new cities built since the 1970s only reached an occupancy of 25 per cent.

D. Poor coordination among different levels of plans and policies and among sectors

51. Usually there is no shortage of plans and programmes related to the development of cities and city regions. However, there are a lot of problems and challenges (UN-Habitat 2009). In many countries these plans and programmes lack a coherent and consistent institutional, i.e. legal and organizational, framework. Coordination between sectoral plans is weak; vertical and horizontal integration of spatial plans is a challenge which is often not taken up successfully. Therefore, there is a lot of fragmentation and overlap, as well as a poor alignment of goals which is especially aggravated if overall urban strategies are missing. The legal base is sometimes weak or even outdated which severely affects the implementability and implementation of plans and programmes. Often, there is no relation to finance and financial mechanisms which results in plans and programmes being more useful for symbolic policies and populism than for strategically guiding the development of cities and city regions in a consistent way. Overcentralization of the urban planning system is another problem for establishing well-functioning and locally fitting plans and programmes. Often, local competencies for urban planning are limited, or sufficiently qualified local capacities for urban planning are lacking. Effective spatial and territorial management requires that the roles, rights and responsibilities with regard to plans and policies are properly allocated. In many cases all over world, the distribution and coordination is poor or even absent, vertically i.e. among the central, regional and local governments, and/or horizontally within the ranges of agencies responsible for various aspects of urban management such as housing, transportation and the environment. Many places also lack sufficient numbers of trained professionals to take up the task.⁷ Primary among the gaps is the absence of the national policy, legislative and administrative structures to frame urban development.⁸
52. The traditional top-down hierarchical structure of governmental spatial planning systems is increasingly inefficient vis-à-vis the needs for participatory governance, with collaboration of particular tiers and branches/sectors of public agencies as well as networking with and inclusion of NGOs, businesses and civic society, with appropriate sharing of the powers and responsibilities.
53. Spatial planning practice suffers from fragmentation of planning tools, oversimplification of policies, poor alignment of goals and plans, lack of national policies supporting urban planning, mismatching between public financing and plans, and low capacity of local governments for accessing resources. Without strong national spatial policy and in the

absence of tools and resources for its implementation locally, local planning especially is exposed to and driven by the economic power of big, often multinational companies, which often thrust forward their interests without regard for environmental and societal impacts, and which require the public hand to bear the induced costs of infrastructures and compensation measures.

54. In sum, the challenges are: fragmentation of planning tools, oversimplification of policies, poor alignment of goals and plans, lack of national policies supporting urban planning, mismatch between public financing and plans, and low capacity of local governments for accessing resources.
55. Not only is the proper allocation of roles, rights and responsibilities for plans and policies absent vertically and horizontally, but many places also lack sufficient numbers of trained professionals to take up the task. Primary among the gaps is the absence of a national policy and legislative and administrative structures to frame urban development.⁹

E. Inadequate and uneven provision and distribution of good green and public space

56. Public spaces are defined as “all places publicly owned or of public use, accessible and enjoyable by all for free and without a profit motive” (Garau et al. 2015; United Nations Human Settlements Programme (UN-Habitat) 2015). Public space has been receiving increasing attention in recent years. Good design and good practices of public space are promoted on a regular basis by regular international events, such as the Barcelona-based European Prize on Urban Public Space and the Rome Biennial of Public Space. Important international public space events and actions have also taken place recently in many cities, including Buenos Aires and Stockholm (Future of Places Conferences), Berlin, Bologna, Porto Alegre and Bogotá. Municipalities have offices and departments dedicated to public space development, improvement and maintenance. Urban green and public spaces play a special role here as they provide a number of services for urban dwellers and for nature. Moreover, they are crucial for diminishing urban heat islands and their negative impact on the population. And one of the targets of Sustainable Development Goal 11 reads: “by 2030, provide universal access to safe, inclusive and accessible, green and public spaces, particularly for women and children, older persons and persons with disabilities”.

⁷ See issue paper 8, p. 2. “The discipline of urban and spatial planning is underrepresented in many developing areas, with 0.97 accredited planners per 100,000 people in some African countries and 0.23 in India. This is compared to 37.63 in the United Kingdom of Great Britain and Northern Ireland and 12.77 in the United States of America”.

⁸ See issue paper 8, p. 2. “The discipline of urban and spatial planning is underrepresented in many developing areas, with 0.97 accredited planners per 100,000 people in some African countries and 0.23 in India. This is compared to 37.63 in the United Kingdom and 12.77 in the United States”.

⁹ Ibid.

57. Despite these developments, and the broadly shared realization that green and public spaces are key to healthy urban environments, provide precious ecosystem services for the urban population, recreation facilities and retention areas in case of flooding and storm water events, the universal provision of public space advocated in Goal 11 faces a number of important challenges:
- (a) Insufficient public space (streets, open public spaces and public facilities) as well as green spaces especially in lower-income suburbs and informal settlements. This is a reflection of the huge inequalities in most cities of the developing world, where inadequate housing should be alleviated by a generous provisions of good quality public space;
 - (b) Weak legal frameworks coupled with poor policy and weak political will resulting in grabbing of public land, the capture of benefit by private actors and over the use of public space;
 - (c) Urban public places becoming highly commercialized, thus exacerbating social inequalities;
 - (d) Increasing polarization and social segregation caused by the privatization of public space as a non-accessible asset of exclusive developments, such as gated communities;
 - (e) A sense of perceived or real insecurity caused by poorly maintained and badly lit green and public spaces in rundown areas and informal settlements;
 - (f) Frequent neglect of the special needs for green and public space on the part of the poor are often ignored by governments;
 - (g) Competing claims on public space on the part of a wide variety of urban users, including street vendors, commercial establishments, pedestrians and cars;
 - (h) The absence of an agreed system of tools or indicators for assessing the supply, quality and distribution of public space;
 - (i) The lack of appreciation of the irreplaceable contribution of public spaces to sustainable urbanization, including mobility, health, enjoyment, and a collective sense of citizenship.
58. In countries with fast population growth and rapid urbanization, the pursuit of this target is made more difficult by the mutually reinforcing adverse combination of rapid population growth, a relevant percentage of whom of limited financial means, on one hand, and of scarce municipal resources, weak land-use control mechanisms and inadequate governance and technical capacity on the other. In “shrinking” cities there are many opportunities to transform built-up areas into green and public spaces. However, in many cases this is restrained by the adverse expectations of landowners, prohibitive land prices, and high maintenance costs of green areas.
59. In both cases, there are remarkable challenges to urban spatial strategies and planning. In consolidated areas, adequate public spaces must be carved out within the existing built fabric. In expansion areas, planning must secure the availability of adequate public spaces particularly for lower-income residents. In shrinking areas, institutional arrangements between public authorities and private landowners are necessary in order to establish intermediate or permanent green spaces, which allow public use.

F. Incoherent and disassembled knowledge about balanced territorial development and urban spatial strategies

60. While Member States have arrived at a global consensus for a key element of urban spatial strategies in the *International Guidelines for Urban and Territorial Planning* and they acknowledge that these guidelines “are a useful resource that can act as a compass for improving global policies, plans and designs” and “a source for inspiration,” (p.7), they readily assert the necessity of adapting them to local contexts. This process requires not only sensitivity to local cultures but also an evaluation of the critical success or failure factors in current work.¹⁰ Further, issue paper 8 and others note that gaps in knowledge exist, especially in understanding “emerging, complex urban dynamics”, (p.6), in informing public decision makers of the “role and value of urban planning” (p.6), and in the contents of university curricula (p.6). In the *International Guidelines on Urban and Territorial Planning: Towards a Compendium of Inspiring Practices*, a volume published simultaneously with the Guidelines, the authors cite the need for more knowledge about local applications, offer brief profiles of 26 cases and call for a “global network of knowledge- and experience sharing. Such a platform would enable decision makers to make more informed decisions on their own development challenges”.¹¹

¹⁰ See Habitat III Issue Paper 8 on Urban Ecology and Resilience.

¹¹ UN-Habitat, Nairobi, 2015, p. 6.

III. Prioritizing policy options: transformative actions for the New Urban Agenda

A. Design and manage sustainably the form and configuration of cities and territories

61. Appropriate urban design must be a constant companion of sound urban planning in creating the sustainable city. This is the case for new developments as well as interventions in the existing city; in rapidly growing contexts as well as in declining urban areas; and in megalopolises as well as in small towns and peri-urban settlements.

62. Priorities in pursuing these objectives are the following:

(a) At the urban level: define what “New Urban Agenda design” is. New Urban Agenda design is a spatial development model capable of achieving quality of life, social harmony, and economic viability and, at the same time, minimizing environmental impact. The “New”, of course, refers to “Agenda”, and not to “design”. The urban design criteria refer in fact to many enormously successful neighbourhoods from the past. Critical recommendations to this regard are:

(i) Letting public space define buildings, and not the other way around. An appropriate layout of streets and other open spaces is indispensable for creating enjoyable and functional urban living environments. Such a layout, like public space, must allow full internal movement and accessibility. In this sense, and unlike enclosed residential communities, “New Urban Agenda neighbourhoods” are, first of all, public space;

(ii) Designing public space grids capable of guaranteeing optimal proportions between open space and built space. It is especially important to provide spacious sidewalks and opportunities for mobility alternatives to motorized transport. Separation between surface public and private transport, whenever feasible, should be encouraged;

(iii) Guaranteeing compactness and density in view of their key importance for economizing on land, justifying efficient public transport, ensuring economic vibrancy, enhancing safety and security, favouring social interaction and the appreciation of diversity, attracting high-quality urban services, and cross-subsidizing affordable housing;

(iv) Enhancing “street life” by allowing for the maximum possible commercial use of street-level floors so as to offer viable alternatives to automobile-driven shopping; offering spaces for neighbourhood services such as kindergartens, arts and craft studios, small entrepreneurship, artisan activities;

(v) Envisaging the maximum feasible functional mix (housing, offices, and businesses) in order to guarantee round-the-clock public activity;

(vi) Envisaging procedures for the future maintenance and management of public spaces as an integral part of the design process;

(vii) Applying the same principles to the existing urban fabric, both by preserving existing neighbourhoods that respond to these criteria and by using the same criteria as guidelines for the sustainable renovation of derelict districts and areas, such as abandoned factories/industrial areas, large empty parcels of land, and in general uninhabited portions of the city that have lost their original use and function;

(b) At the territorial level: the same criteria can apply, keeping in mind obvious differences in scale between larger and smaller urban settlements. At the territorial level, the “New Urban Agenda design” paradigm implies a total reversal of the sprawl/diffused development model. It envisages wide tracts and corridors of open spaces safeguarded from development and an efficient system of transport connecting larger and smaller compact settlements. The setting of clear national, regional and local targets and measures on how to reduce land consumption for newly built-up areas, such as new urban neighbourhoods, suburban or exurban settlements and road infrastructure, is an important strategic step towards more sustainable urbanization.

B. Land as a tool to promote equality and secure resources

63. Intervene to prevent land market failures and excessive privatization of land, ensure an adequate market and public supply of affordable land for housing, encourage mixed-income development to offset segregation, secure land tenure in informal settlements, introduce efficient legal and technical systems to capture part of the land value increment accruing from public investment.

64. One of the most serious effects of land market failures, when there is no good planning and management of land and space, is social segregation. It requires integrated planning tools to correct land markets failures through taxation and land regulations to ensure the most vulnerable sectors access to urban land without depending entirely on its per capita income, which tends to reproduce territorially inequalities of income between socioeconomic groups.
65. To meet the challenges posed above, best practice land strategies should focus on capturing the windfalls that arise from administrative acts (such as the right to build over and above a certain level (floor area ratio) or land-use changes from rural to urban or even from residential to commercial). When previous, or concomitant, public investments in urban infrastructure and services funded by the community at large (through taxes) support these land-use changes, a case can be made for the public to recover, in part or in full, these windfalls to defray the costs of such investments.
66. In addition, the public sharing of these windfalls facilitates the promotion of more socially inclusive land-use norms and regulations when designing and implementing master plans. Those responsible for ensuring more inclusive cities need to revisit existing legislation on the association of development rights to private property rights.¹²
67. There is therefore a need to better inform urban planners on the market value and fiscal impact of their decisions. They need to recognize the significant opportunities that are available to generate additional and substantive revenues. Any policy preserving the market as a land allocation institution alongside private property rights has to recognize the importance of promoting sustainable social housing inclusion by curbing landowner's expectations on windfalls. Secondly, resources thus generated should be used to increase the ability of lower-income groups to participate in financial schemes that lower the primary costs of land for new housing developments. Inner-city more inclusive housing for low-income groups should also contemplate forms of tenure other than owner occupation. When subsidies are unavoidable to address the challenges of inclusionary housing, its provision should be facilitated in ways that do not retro-feed into higher land values accruing to landowners. In addition, resources from land-based financial policies and tools (value capture, etc.) should be used (and earmarked) to promote more socially mixed developments rather than fully fledged "Robin Hood schemes" that ultimately exacerbate intra-urban differences affecting land prices and thus reinforcing social exclusion.

C. Guarantee equitable access to the benefits of urbanization

68. In order to meet the challenge described previously regarding this topic, the following policy priorities are recommended:
- (a) Raise awareness in all stakeholders from different levels of society of the benefits of abiding by just and equitable planning that assures fair distribution of benefits of urbanization; acknowledge that urban planning is a key integrative tool across different sectors enabling better use of resources, reduction of costs and promotion of equality. Accountability mechanisms for both providers and beneficiaries have to be established and practiced for this to happen;¹³
 - (b) Establish legal frameworks and procedures to redirect part of the wealth generated by cities towards the design and implementation of urban spatial strategies aimed at social and spatial integration;
 - (c) Establish frameworks, processes and working plans based on the alignment of goals with local values and norms that are still applied and, in many cases, have more strength than written laws that are often alien, usually fragmented and derived from different eras. This necessitates good research and knowledge base, awareness-raising, transparency, and channels of public dialogue;
 - (d) Redirect urban growth trends and decrease segregation in cities through spatial choices and decisions, supported by legal and financial tools in steering cities towards more compact, integrated, connected and inclusive urban patterns;
 - (e) Stress the role of the public hand in planning to ensure sustainable and inclusive planning;
 - (f) Reform urban planning education and practice; from approaches that reinforce urban segregation towards planning that enhances social inclusion, based on an adequate understanding of contemporary dynamics (including informal-formal interlinkages), human settlement transformation processes (such as rural to urban transitions, densification, and shrinking cities) and new challenges to promote inclusiveness and gender-responsive land policies;

¹² The Municipality of Sao Paulo, for instance, reduced basic floor area ratio (FARs) for the city as a whole to one keeping the maximum FAR in different areas according to existing infrastructures and other supporting conditions in much higher values. The difference from the maximum FAR in a certain zone and the basic FAR (=1) is now the subject of a charge according to the land value increment associated to it. This process of change in the FARs and respective rights took over 12 years with insignificant legal appeals by affected interests. More, well-defined large-scale polygons of redevelopment use an instrument called CEPACs to auction, electronically through the stock market, the additional building rights entailed in such projects. Over \$2.5 billion have been paid by developers in the form of these certificates issued by the municipality over the last 10 years in two so-called Urban Operations. Part of the proceeds was used to redevelop on site a slum (Jardim Edith) in one of the most valued areas of the city.

¹³ Accountability mechanisms have to be designed in proportion to the population size, so that in densely populated cities, representation has to be large-based.

- (g) Acknowledge, regulate, and support private sector efforts that overcome social and spatial segregation, and are not fully recognized legally, especially in the provision of housing, services, transportation, urban management and economic development; all benefits of urbanization. This recommendation should be coupled with longer-term reform of legal, administrative and financial frameworks and policies to avoid future informality;
- (h) Create a demand for more sustainable non-segregated urban form and public space, which includes self-help solutions, better connectivity, public space-driven development, and social mix;
- (i) Recognize the millions of small and medium-sized investors in the urban development/transformation of cities and their territories (mostly lower- and middle-income groups in developing countries) and supportive an inclusive legal, administrative, and financial framework;
- (j) Destigmatize lower-income groups and the working poor and recognize that their social capital and collective economic impact can decrease social and spatial segregation tendencies on the part of upper-income groups. This priority can be addressed most effectively by involving the media and educational institutions;
- (k) Capitalize on cultural heritage not only for its economic value, but also to sustain social and psychological benefits such as self-confidence, civic pride and identity;
- (l) Contribute to a decrease of rural-urban migration and transformation by revitalizing agro-based economies and providing quality services inclusive of, but not restricted to, safe and affordable water and sanitation, and quality health, educational and administrative services.

D. Coordinate among different levels of plans and policies and between sectors

69. In section I of this policy paper three critical conditions are mentioned which underline the critical importance of making the design and management of the form and configuration of cities and territories the top priority of this paper. Further, the aim of this prioritization is to employ the *International Guidelines on Urban and Territorial Planning* as a framework for improving global policies, plans, designs and implementation processes, which will lead to more compact, socially inclusive, better-integrated and connected

cities and territories that foster sustainable urban development, are resilient to climate change and can result in the lessening of energy use and greenhouse gas production.¹⁴

70. *Planning tools should be harmonized between themselves and in connection to the more general aims of urban spatial strategies. Also, plans should be immediately linked to their implementation, including financial resources, enactment of national legislation supporting local strategies and planning, development of rationales highlighting the virtuous connections between sound spatial strategies and the potential for sustainable resource mobilization.* Included in this work are the following targets:
- (a) A set of plans focusing on the area of responsibility of the respective sphere of government;
 - (i) National urban policy or plan: promotes sustainable development patterns nationwide with a balanced system of cities and territories;
 - (ii) City-region or metropolitan plan, including corridor plans: promote regional infrastructure to promote economic productivity and enhance urban-rural linkages;
 - (iii) City-municipal-level plan: development plans that prioritize investment decisions and encourage synergies and interactions between and among separate urban areas. Includes: plans for land use, urban extension and infill, upgrading and retrofitting, and public space systems;
 - (iv) Neighbourhood plans: street development and public space plans and layouts to improve liveability (e.g. safety), social cohesion and inclusion, and the protection of local resources;
 - (b) The enabling legal and administrative framework that allows for the crafting and implementation of the plans with meaningful stakeholder participation and partnerships;
 - (c) Mechanisms for finance;
 - (d) Mechanisms for monitoring plans and feedback loops to refine or adjust plans.

¹⁴ This language is drawn directly from the Guidelines for Urban and Territorial Planning, p. 7.

71. As indicated in the *International Guidelines on Urban and Territorial Planning*, Towards a Compendium of Inspiring Practices (UN-Habitat 2015a) and *The Evolution of National Urban Policies* (UN-Habitat 2015b), examples exist.
72. However, effective planning at all levels and across sectors is dependent on the spheres of government and stakeholders having sufficient, timely data and the capacity to employ it. As also mentioned in the recommendations for monitoring, such geospatial technologies as the Global Human Settlement Layer now being completed by the European Union Joint Research Centre show great promise in supplying the needed information. Further, national policies that recognize and support planning in small and medium-sized cities expected to experience the bulk of urban growth in Asia and Africa is a special priority.

E. Ensure an adequate and well-distributed provision and management of good green and public space

73. Organize broad surveys to identify critical situations and gaps in public space provision and management, with special emphasis on informal, peripheral and high-crime areas as a key input to equitable urban spatial strategies. Ensure protection of both existing and potential public spaces against predatory land development and land-use practices.
74. In order to meet the challenges mentioned in the previous section, the following policy options are recommended:
- (a) Establish targets linked to specific indicators. A set of indicators contained in the UN-Habitat “Global Public Space Toolkit” (UN-Habitat 2015), aims at determining the supply and quality of public space, broken down in its many components, in different areas of the city. In addition, UN-Habitat is proposing a set of targets for the amount of land allocated to streets and public space in urban areas to ensure adequate foundation for the city. The proposed goal/target for public space being suggested is that 45 per cent¹⁵ of land should be allocated to streets and public space. This can be broken down into 30 per cent for streets and sidewalks and 15 per cent for open spaces, green spaces and public facilities;¹⁶
 - (b) Citywide green and public space strategies need to focus not only on places and spaces but on the form, function and connectivity of the city as a whole. A holistic view of the city and its green and public space network is fundamental to maximize the potential of the existing infrastructure. Concepts of embedding compact city neighbourhoods into a network of green and public spaces as in the case of Dresden, may provide better access to open spaces and raise the thermal comfort of cities;
 - (c) Legislation for providing green and public space — laws and regulations need to be reviewed, to establish enabling systems to create, revitalize, manage, maintain and protect green and public space; local land-use concepts giving special attention to green and public spaces may be instrumental here;
 - (d) Anchoring green and public space in national urban policies — providing an overarching coordinating framework to provide the needed direction and course of action to support cities and towns in providing universal access to safe, inclusive and accessible green and public spaces;
 - (e) Securing green and public space in planned city extensions, city infills and slum upgrading — as cities expand, the necessary land for streets and public spaces as well as public infrastructure networks must be secured. Instruments to enable the creation of public space from privately owned land are of critical importance;
 - (f) Planning green and public space as a system — local authorities should be able to design the network of green and public spaces as part of their development plans. Ensure that urban plans contain sufficient guidance for the creation, layout and design of green and public spaces. Local green space strategies should be embedded into and linked with city regional landscape strategies in order to provide appropriate connections between open spaces in the city and in their surrounding region as part of urban rural relations;
 - (g) Using green and public space to lead development strategies — public space can lead urban development by ensuring that building will only be permitted if green and public space has been organized prior to development;
 - (h) Participation — public space as a common good is the key enabler for the fulfilment of human rights, empowering women and providing opportunities for youth. Improving access to and participation for the most vulnerable is a powerful tool to improve equity, promote inclusion and combat discrimination in public space;

¹⁵ Defined by those achieving a minimum density of 150 inhabitants per hectare, the minimum threshold for a viable public transport system.

¹⁶ Ibid.

- (i) Leveraging green and public space as resource multiplier — land value-sharing tools should be widely adopted and promoted for municipalities to capture private values generated by better green and public spaces to sustain investment in public space. Green and public spaces generate substantial economic value. There is evidence that well-planned, well-managed green and public spaces have positive impact on the price of nearby residential properties as well as increasing business turnover. Land value sharing requires specific instruments such as valuation, taxation or land readjustment. There is a need to adopt redistributive policies to redirect municipal resources generated by gentrification to improve the supply, quantity and distribution of public space in less fortunate neighbourhoods;
- (j) Investing in green and public space needs to be harnessed as a driver for economic and social development, taking into consideration urban-rural linkages.

F. Create a mechanism to support the creation of policy based on knowledge, expertise and experience of multiple stakeholders

- 75. Organize a knowledge platform, a panel on sustainable urbanization, built on the legacy of the Habitat III issue papers and policy units process that provides an interactive meta-platform for the open sharing of knowledge, expertise and experience. As in the Habitat III process, its members would be nominated by Member States and civil society.
- 76. This proposal aims to stimulate a new paradigm of knowledge creation and sharing, one that consolidates, assesses and puts forth the current and future quantitative and qualitative research on sustainable urban development drawn from the science, social science and design disciplines. Like similar platforms that have addressed complex global issues such as climate change or biodiversity, the envisioned paradigm would foster systematic, multidisciplinary cooperative research. It would consolidate links to existing knowledge platforms of relevance to the New Urban Agenda. It would evaluate and generate policy relevant but not policy prescriptive research. It would:
 - (a) Address key topics yet drill down to specific applications to explore how contextual factors affect universal principles and serve as drivers of positive change in the pursuit of sustainable urban development; among the topics to be explored are the form and configuration of cities and territories as contributory to economic prosperity/balanced territorial development, inclusion and equality and resilience and sustainability, the functioning and management of land markets; factors that contribute to urban liveability, models

of effective governance and finance for sustainable development;

- (b) Engage in fruitful investigatory partnerships between researchers and practitioners in order to allow theory to inform practice and practice to inform theory;
- (c) Communicate the results systematically and effectively at regular intervals in order support the aims of the New Urban Agenda to inspire and drive transformative changes in countries and their cities.

IV. Key actors for actions: enabling institutions

- 77. Among the actors with specific roles to play in the implementation of this paper's policy priorities are: local governments; supra-local — regional and national governments; supranational governance organizations (e.g. European Union); investors (entrepreneurs, banks and other financial institutions); real estate operators and developers; educational institutions; cultural institutions and associations; professional organizations; media; civil society/communities — community-based organizations and community-based actors; service providers (enterprises that provide basic services — water, sewerage, electricity, transportation, etc.), NGOs, community-based organizations, local policymakers, politicians, parliamentarians; special intergovernmental agencies, international agencies.
- 78. Most of these categories have come together over the past three years in 26 “Urban thinkers campuses” organized by UN-Habitat in cooperation with local hosts and aimed at forging collaborative thinking on specific themes. Their report will be a welcome contribution to the spirit of collaboration and joint commitment that should characterize the New Urban Agenda's implementation process. Of course, the success of this goal will depend to a large extent on the degree of ownership actors will be able to claim on the elaboration of the New Urban Agenda itself. In this respect, the fact that accredited partners have had the opportunity to express their views on the preliminary drafts of Habitat III policy papers is a welcome development.
- 79. This Policy Unit recognizes that all components of society have to be informed and have a proactive part in the implementation of the New Urban Agenda. In addition to that, some key actors can be identified and have to take a leading role in this process.
- 80. Local governments are determinant actors in the development and implementation of policies, plans and programmes that shape directly urban form, design quality, and land use, among others. Local

- governments also have a main role in developing and managing relations among other stakeholders (politicians, community-based organizations, real estate developers, investors, entrepreneurs, banks and other financial institutions, service providers, NGOs), and should do it fairly and in the common interest. Capacity is key in this respect, as only well-trained, informed and independent public servants can secure partnership agreements that will not damage the community in favour of specific interests.
81. All actors have different negotiation capacities and responsibilities; in other words, and perhaps paradoxically, inequalities can be reinforced when actors with less power and influence sit around a negotiating table without a clear sense of the stakes involved.
 82. Consequences of decisions taken at the local level reverberate beyond the level and the timespan they are directly concerned with. All actors should be fully aware of the long-term and wide-ranging consequences of their land and urban transformations. These decisions, no matter how limited and localized they may seem, have profound urban, territorial, national and global impact. We must remember that global environmental phenomena are the result of an innumerable amount of local and apparently unrelated decisions on the use and organization of space.
 83. In the ultimate analysis, planning can be used as a relevant tool to promote stakeholders and civil society engagement and to raise awareness and environmental education as key elements for efficient mitigation and adaptation measures as well as environmentally oriented sustainable development strategies.
 84. Compared to sectoral policies, urban and territorial transformations are virtually irreversible. Their physical configuration cannot be easily modified, without substantial resources and over considerable spans of time. In addition to that, all these activities have directly influence greenhouse gas emissions, address the impacts of climate change, and provoke or attenuate adverse environmental impacts.
 85. National Governments have a vital role in promoting integrated national spatial strategies and plans, which include issues of climate change mitigation and adaptation, resilience towards shocks, e.g. disasters, and solutions to diminish adverse environmental impacts of human activities, but also a fair distribution of economic and natural resources. National Governments should also organize national frameworks and legislation to promote decentralized policies supporting climate change mitigation, energy transition and resilience accompanied by adequate resources.
 86. Real estate developers and investors have to be aware of the consequences of the urban models they contribute to create, but also of the economic advantages of proposing projects based on sensible and appropriate design that reconcile environmental consideration with urban liveability. Common work with national governments, local governments, specialized institutions and civil society representatives on the formulation of urban sustainable urban design guidelines should be welcomed.
 87. Media, academia, research institutions, professional associations and civil society have the main responsibilities in creating a consensus on importance of urban strategies in improve quality of city life, but also on their consequences on rural areas. Many efforts have been done in this direction, by the international community to support global initiatives and promote networking among international coalitions and groups.
 88. In particular, international agencies and special intergovernmental organization have been promoting initiatives to build consensus on the urban Sustainable Development Goals and the New Urban Agenda. More efforts have to be done to support of new partnership platforms that have emerged in the past three years, notably the Global Taskforce of Local and Regional Governments on the Post 2015 Agenda and Habitat III (2013) and the General Assembly of Partners towards Habitat III (2015).
 89. The Global Taskforce, composed of such local government coalitions as UCLG, ICLEI, C40 and relevant experts, can be expected to contribute to and support the work of the New Urban Agenda putting forth unified positions and commitments for subnational governments with an emphasis on decentralization and the localization of urban spatial policies.
 90. The General Assembly of Partners (GAP), a special initiative of the UN-Habitat World Urban Campaign, is a coalition of 14 partner groups including the nine major groups, the Habitat Agenda partners and others with expertise and interest in urbanization. Recognized by the General Assembly as an official civic engagement platform for Habitat III, GAP, like the Global Taskforce, is maturing into a cohesive coalition whose members, together or in their individual capacity, can contribute significantly to the New Urban Agenda.

V. Policy design, implementation and monitoring

A. Implementing the sustainable design and management of the form and configuration of cities and territories

1. Means of implementation and financing options

91. The successful application of the New Urban Agenda Design model introduced in section III of this paper depends much more on its conceptual and political acceptance than on the mobilization of massive additional resources.
92. The reason for this is that the overwhelming proportion of spatial interventions in cities and territories are the product of either formal entrepreneurship or of informal initiatives — both in urban expansion processes and in filling-in, regeneration and redevelopment interventions within the existing city.
93. Therefore, the issue is that of activating a virtuous cycle to show that sustainable approaches to urban design and development are attractive, implementable and financially rewarding.
94. In this endeavour, the involvement of all actors both from government institutions and from civil society will be crucial.
95. At the national level, growing concerns over reducing CO2 emissions will conceivably determine more stringent legislation. While the greatest emphasis has been placed so far on clean energy and eco-friendly architecture, the success of the advocated new urban design model will be greatly enhanced by the realization that the form and configuration of neighbourhoods and settlements has an enormous impact on the environment. As a result, governments may be inclined to penalize unsustainable urbanization and offer incentives for sustainable planning and design. This can be done also through appropriate national urban strategies favouring the cluster approach for “compact territories” suggested earlier as a sustainable alternative to uncontrolled sprawl.
96. This also applies to new informal development. A report¹⁷ commissioned by the United Nations Secretary-General on the implementation of the Millennium Development Goal “improving the lives of slum dwellers” target, and drawn by a task force including the World Bank, the Cities Alliance and representatives from academia and civil society, including the association known as Slum Dwellers International, while advocating upgrading and the granting of an

appropriate form of tenure in slums not subsisting in perilous situations, concluded that the construction of adequate housing through assisted self-help in newly planned areas was far less expensive than retrofitting (Garau et al. 2005). Therefore, proactive and planned solutions for affordable housing can indeed save enormous sums of money, by avoiding expensive remedies at a later stage and capitalizing on the resources of the beneficiaries — in a climate of complete legality.

2. Monitoring mechanisms

97. A wide variety of actors can help effect this radical change of perspective. The New Agenda itself can, of course, become the vehicle of this vision. But at the implementation level this vision will have to be supported by all international organizations involved in the 2030 Agenda, national governments, local governments. A special role will have to be performed by national-level professional associations, academic, research, and cultural institutions focusing on urban and territorial development issues.
98. One way to mobilize this involvement can be the creation of a “global library of sustainable urban design”, where good practices and solutions can be collected, stored, disseminated and discussed, and act as a catalyst for action.
99. An interesting trend is also the involvement of financing institutions in promoting sustainable urbanization approaches. One such example is offered by the “Guidelines for Green and Smart Urban Development” produced by the China Development Bank Capital¹⁸ (China Development Bank Capital’s 2015).

B. Address land market failures to promote equality and ensure access to the benefits of urbanization

100. Market-aware policies to promote inclusiveness require that planners consider how increases in land values resulting from the actions of the public sector can be used to secure social objectives rather than simply being appropriated as windfall gains well-positioned landowners. Planners require a range of management skills to deal with many complex factors and understand the needs of a diverse range of stakeholders. Comprehensive land and property market monitoring systems must also be put in place together a fluid dialogue among fiscal, planning and judicial entities, and the political resolve of local government leaders and planners. Land value increments are also captured more successfully when developers and other stakeholders understand that the benefits accrued from value capture policies can provide benefits to all parties involved and are an improvement over business as usual.

¹⁷ “A Home in the City” United Nations Millennium Project (http://www.unmillenniumproject.org/reports/tf_slum.htm).

¹⁸ <http://energyinnovation.org/greensmart/>.

101. More specifically, concrete guidelines should inform land-use strategies aimed at promoting social inclusion through the use of land-financing tools. These include:

- (a) Ensuring that the adoption of new tools is sensitive to real estate market conditions;
- (b) Recognizing that trial and error is part of the process of refining and institutionalizing any policy tool, and that there is no “one size fits all” solution;
- (c) Prioritizing the public control of building rights and land uses rather than public ownership of land as elements of a land-based financing tools strategy;
- (d) Maintaining updated cadastres, valuation maps and land and housing price records to generate the data needed to assess changes in land values;
- (e) Ensuring administrative continuity in the implementation of such policies over time, especially for large-scale projects;
- (f) Encouraging direct negotiations between public officials and private sector developers likely to benefit from specific public actions;
- (g) Generating a willingness to pay when benefits accrue directly to beneficiaries of a specific public intervention;
- (h) Creating win-win situations whereby public interventions can stimulate further market/private sector investments.

102. Countries and jurisdictions that have been able to innovate and expand upon land based financing tools for revenue generation tend to enshrine within constitutional documents and legal codes the separation of building rights from land ownership rights. This helps reduce resistance from landowners to socially inclusive uses, while at the same time generating much-needed revenues to fund such projects. Other tools to consider include:

- (a) Special zoning of social interests as currently widely implemented in Brazilian cities whereby existing informal settlements in special higher-income areas are protected from gentrification and other forms of colonization by high-income-oriented developers through the adoption of plot size restrictions, set-backs, etc. that are sensitive to the needs of lower-income groups. This instrument is also used in new areas that will be occupied by lower-income

groups to protect them from “higher” uses and reduce the costs of land by increasing density;

- (b) Declaration of Priority Development as currently in use in Colombia whereby the existence of vacant land in higher-income areas is signalled, with a deadline for development. Non-compliance enables the public to auction the land with the added benefit that the bid winner must use the land for social housing. This allows the land to be bought at a price consistent to its use for social housing.

C. Guarantee equitable access to the benefits of urbanization

- (a) Push for the revision of the global economic model underlying value system to restore non-monetary principles of social justice, “public good”, psychological and cultural values into the equation;
- (b) Safeguard existing urban forms that show case the “culture” of the sustainable city, such as compactness, mixed use, social mix, connectivity, safe and accessible public space;
- (c) Establish legal-financial frameworks and administrative procedures to redirect part of the wealth generated by cities to the provision and fair distribution of quality public space, as well as mechanisms to safeguard public space in newly planned expansions;
- (d) Establish legal-financial frameworks and administrative procedures to allow public-private partnerships with local financial autonomy with in-kind collective participation of end users in local development projects;
- (e) Minimize demand for travel by planning and designing a well-connected network of mixed-use arteries and a density-based fair distribution of diverse services across cities and their territories;
- (f) Plan and provide integrated networks of multimodal means of mobility to ensure affordable and safe access to all users including women, children, the elderly and people with disabilities;
- (g) Deliver secure tenure of land and buildings to decrease the vulnerability of upgraded informal areas that still suffer the threat of demolition and eviction when land value increases despite their partial legalization and acknowledgement by administrative mechanisms;¹⁹

¹⁹ Case: Kazem Kazabekir, Greater Istanbul, Turkey.

- (h) Socio-spatial differentiation in urban design and planning should reflect the culture of the inhabitants, and not their income level, while guaranteeing the same quality of services;
 - (i) Emphasize the role of urban design as a way to provide spatial quality and to afford social integration;
 - (j) Spatial justice in the provision of public space and connectivity to boost productivity in underprivileged areas;
 - (k) Continuous production of accurate knowledge is not only essential for monitoring purposes but essential to share knowledge and raise awareness among the public about development benefits and new challenges;
 - (l) Participatory planning mechanisms in densely populated metropolises should utilize innovative methods of representation proportionate to the population;
 - (m) Affordable, accessible connectivity between cities and their territories to enable residents of the rural-urban continuum to enjoy of complementary features of more and less dense settlements;
 - (n) Adopt safeguarding measures to protect natural or man-made landscape and the right to all to enjoy it;
 - (o) Introduce practices such as community gardening and urban agriculture where applicable and in line with local lifestyle.
- (d) Citizen and community participation, particularly at the neighbourhood level, is a fundamental element in the public space creation/maintenance/ enjoyment/evaluation cycle. Only through feedback from the users can the effectiveness of public space be properly measured and monitored over time;
 - (e) Emphasize public sector responsibilities in creating and managing public space that is equitably distributed across cities and their territories, ensuring the easy and safe use of those spaces by all user groups, including women, girls, elderly, children, youth, people with disabilities and the poor;
 - (f) Raise awareness of the benefits/create market demand for well-designed public space and public space-driven development to exercise pressure on governments as well as private developers;
 - (g) Adopt “mixed use” in city-scale networks of public space to promote social mix; networks of “shared streets” with multiple modes of transportation and opportunities for diverse uses by diverse users.

D. Ensure an adequate and well-distributed provision and management of good green and public space

- (a) The priorities identified to ensure adequate and well-distributed public space should be part of a comprehensive, citywide public space policy;
- (b) Develop planning and design guidelines that articulate between requirements for city scale public space and neighbourhood/locality scale public spaces avoiding prescriptive recipes and following a flexible approach;
- (c) With regard to financing mechanisms, it must be underlined that good public spaces, and in particular parks, gardens, plazas, create urban value. Part of this value, which is normally generated by public investment, must be captured in order to improve less

E. Finance mechanisms

103. In its policy paper Framework, and in line with the conclusions of this Policy Unit’s first expert group meeting, Policy Unit 5 — devoted to municipal finance and local fiscal systems — recognizes that: “Some of the most reliable and effective revenue sources and financing tools used by municipal governments are land-based. Proper use of the property tax and land value capture, among other land-based tools, can help to create sustainable and fiscally healthy communities” (Habitat III Policy Unit 5 2015).
104. What this report wants to stress is the positive connection between sound spatial strategies, the policy priorities suggested for their formulation and implementation, and the prospects for mobilizing the means for achieving the conference goals in cities — adequate shelter for all and sustainable urban development. It is clear that haphazard, unplanned development generates chaos, inefficiency and enormous social and monetary costs. On the contrary, planned development based on sound urban spatial strategies generates wealth. This wealth stems from the increased value of land after deliberate urbanization processes including

²⁰ A relevant experience in this field is represented by the Global Human Settlement Layer (GHSL), developed by the European Commission, Joint Research Centre, and its related product such as the European Settlement Map. GHSL is an open and free database to map and classify human settlements in a harmonized and consistent way, based on satellite imagery (Pesaresi et al. 2013) <http://ghslsys.jrc.ec.europa.eu/>.

good infrastructure, good public spaces, and buildable land for all living functions. In turn, cities can recapture — through land taxation and land value capture — the resources they need to feed this beneficial virtuous cycle of planning and investment.

105. It stands to reason, therefore, that resources devoted to the formulation of sound urban spatial strategies are not a cost, but an investment: not only for improving the quality of life of all citizens and protecting the environment, but also for generating the resources this virtuous process requires.

F. Monitoring

106. It is recognized that the Sustainable Development Goals, particularly Goal 11, represent a powerful global standard to measure the achievements of cities and territories in improving living condition of city dwellers. Sound urban spatial strategies require transparency and accountability in the planning process, which in turn necessitates reliable, open and easily accessible data.
107. As underlined in issue paper 8, “ICT and satellite imagery are easy and affordable means of accessing spatial data that have enabled broader participation in knowledge creation and information exchange”.²⁰
108. Poor data quality, lack of timely data and unavailability of disaggregated data are a major challenge. As a result, many national and local governments continue to rely on outdated information or data of insufficient quality to make planning and decisions.
109. Cadastral data are key elements for monitoring land use, but other indicators are relevant and should be collected and updated regularly.
110. Regional and national governments should make use of geospatial data on built-up, green and open areas to cross-check data collected locally. Open and easily accessible geospatial data can support monitoring in many aspects of development, from health care to natural resource management. They can be particularly effective especially in spatial analyses and outputs that can also be compared worldwide.
111. Considering the challenge of handling large amounts of data (both in terms of know-how and costs), local and regional authorities can work together with national and international institutions and research centres to make the most effective use of open, easily accessible data.

112. If on the one hand cities and countries have the main responsibility for monitoring their achievements on urban sustainable development referring to global indicators, on the other hand many aspects of planning processes and strategies, such as participation, transparency, etc., are site-specific or not enumerable. It is important to ensure that national and local communities and stakeholders take a leading role in monitoring and advocating for adequate participative, clear, transparent procedures, especially in those contexts where phenomena such as speculation, gentrification, and displacement affect the most vulnerable inhabitants.
113. Cities should take on their shoulders the responsibility of monitoring improvements in distributing the benefits of urbanization to city dwellers,²¹ with special attention to citywide surveys on supply and distribution of public space (UN-Habitat 2015).

VI. Conclusion

114. This paper's conclusions reflected in the following seven key messages:

Urban spatial strategies

115. The organization of physical space is key to sustainable urban and territorial development. It can be successfully achieved through fair and comprehensive urban spatial strategies.

Designing the sustainable city

116. Compact development and redevelopment on a human scale is the basis for the enjoyment of urban life by all, the satisfaction of basic needs, a vibrant economy and the protection of the environment.

Using land markets to combat segregation

117. Appropriate legislation and planning measures can make sure that part of the wealth generated by urbanization processes is shared collectively providing security of tenure and access to land and services and combat physical and social segregation and improve the living conditions of the urban poor.

²¹ Relevant indicators to be considered are: increase in capacity to earn a living/decreased gap between job market demand and capacity of unemployed; well-used services at their maximum-use capacity (not underutilized and not overcrowded); continuity of water supply (many cities have water and electricity networks but intermittent supply); decrease in drinking water-related diseases; decrease in leakage of water and sanitation networks/decrease in subsoil water table; frequented public and green spaces; less travel time; decrease in carbon emissions; decrease in sexual harassment and violence against women in public space; fewer fatalities and accidents in public space; balanced geographic distribution of public space and green public space; map energy consumption-carbon emission; generation of revenue expenditure of public funds along density/socio-spatially differentiated parts of cities, not only administrative boundaries.

Extending the benefits of urbanization to all

118. Urban strategies must guarantee that the benefits and services cities can offer are shared by all, regardless of income, lifestyle, place of residence and type and size of settlement.

Integrating levels, scales and actors of planning

119. The integration between levels of planning, sectors and urban and rural development is essential for the success of urban spatial strategies. Useful tools to achieve this goal are available, including the *International Guidelines on Urban and Territorial Planning*.

Shaping the city through green and public space

120. Green and public space is what defines the identity and character of a city, expresses its physical structure and provides the lifeline of city life: recreation, mobility, interaction, and togetherness.

A global dialogue for sustainable planning

121. The continuation of a global dialogue on the sustainable organization of urban and rural space will be vital for the successful implementation of the New Urban Agenda and the Sustainable Development Goals. The processes put in place by Habitat III could usefully be translated into continuous activities devoted to networking and the exchange of ideas, experiences, information and good practices.

POLICY PAPER 6
ANNEXES

Annex I

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POLICY PAPER 6
APPENDICES

Appendix A. Policy Units selection process and criteria



1

HABITAT III POLICY UNITS SELECTION PROCESS AND CRITERIA

BACKGROUND

In the framework of the preparations towards Habitat III, a total of ten Policy Papers on relevant topics will be developed by Policy Units (each Policy Unit will develop one Policy Paper) composed of 20 experts each, coming from different geographic areas and constituencies. The main objectives of this will be:

- // To bring together high-level expertise to explore state-of-the-art research and analysis on specific themes;
- // To identify good practices and lessons learned; and
- // To develop policy recommendations on particular issues regarding sustainable urban development.

The ten Policy Units will focus respectively on the following ten topics:

1. Right to the City, and Cities for All;
2. Socio-Cultural Urban Framework;
3. National Urban Policies;
4. Urban Governance, Capacity and Institutional Development;
5. Municipal Finance and Local Fiscal Systems;
6. Urban Spatial Strategy: Land Market and Segregation;
7. Urban Economic Development Strategies;
8. Urban Ecology and Resilience;
9. Urban Services and Technology; and
10. Housing Policies.

IDENTIFICATION OF EXPERTS

The process to identify experts for the composition of ten Policy Units will include the following steps:

- "# Request to Member States to officially propose, to the Secretary-General of the Conference, suitable experts to be part of specific Policy Units.





2

To this aim, a letter was sent on 8 May 2015 to all Member States.

2. Request to accredited stakeholders to officially propose, to the Secretary-General of the Conference, suitable experts to be part of specific Policy Units.

To this aim a letter to all ECOSOC, Habitat II, and specially accredited organizations will be sent.

In addition to the accredited organizations, the Habitat III Secretariat in consultation with Bureau Members may invite other international organizations, recognized for their contributions to specific Policy Units' topics, to propose suitable experts. The Habitat III Secretariat is not limiting the number of nominated experts.

3. The Habitat III Secretariat will also request the UN Task Team, building on the work done for the preparation of Issue Papers, to propose suitable experts to be part of specific Policy Units.

[See Terms of Reference for Experts]

CRITERIA OF SELECTION

Based on the proposals received, the Secretary General will appoint 20 experts for each Policy Unit. The selection, conducted in close consultation with the Bureau of the Preparatory Committee for Habitat III, will be based on the following criteria:

// DEMONSTRABLE COMPETENCE

The candidate should be able to demonstrate a highly recognized competency at the level of work experience and production of research/studies on subjects directly related to the topic of the Policy Unit. To this aim, research and publications issued on the topics, relevant work experience, and participation and engagement in other intergovernmental processes and/or global development frameworks will be considered and evaluated.

// GEOGRAPHICAL BALANCE

The selection will strive to ensure a fair balance on the geographic origin of the experts in order for all five geographic regions to be fairly represented in each unit.

// GENDER BALANCE

Whenever possible and depending on the availability of suitable candidates, the selection will ensure that male and female are equally represented in all the units.





3

In addition to the above, careful considerations will be made, as relevant, on ensuring the diversity of approaches and sub-thematic focuses. When necessary, other mechanisms such as interviews could be carried out during the selection process.

The selection will be nominative based on the above criteria.

As part of the nominations, the Habitat III Secretariat is expecting to receive the CVs of experts.

CO-LEAD ORGANIZATIONS

Each Policy Unit will be co-led by two organizations appointed by the Secretary-General of the Conference. The organizations willing to co-lead a Policy Unit will be selected in close consultation with the Bureau of the Preparatory Committee for Habitat III, based on the following criteria:

- // International scope of the organization and high level demonstrable recognition in the subject area and/or specific topic of the Policy Unit;
- // Priority will be given to international organizations that can demonstrate participation and engagement in other intergovernmental processes and/or global development frameworks; and
- // Diversity in their constituent groups.

[See Terms of Reference for Co-lead organizations]

FINANCIAL SUSTAINABILITY

The cost of the Policy Units has been calculated in approximately 2.5 Million USD, including travel for two meetings (and one virtual meeting), the Habitat III Secretariat support and travel, the documentation, publication of documents, translation in six official UN languages, and the technical support for the open consultations. Each Policy Unit would cost 250,000 USD. Member States and other potential donors are being approached for contributing to the Habitat III Trust Fund.



Appendix B. Terms of reference for co-lead organizations



HABITAT III POLICY UNITS

TERMS OF REFERENCE FOR CO-LEAD ORGANIZATIONS

Each Policy Unit will be co-led by two organizations appointed by the Secretary-General of the Conference, upon selection by the Secretary-General of the Conference in close consultation with the Bureau of the Preparatory Committee for Habitat III.

Organizations should be nominated to co-lead Policy Units based on the following criteria:

- // International scope of the organization, and high level demonstrable recognition in the subject area and/or specific topic of the Policy Unit;
- // Participation and engagement in other intergovernmental processes and/or global development frameworks;
- // Diversity in their constituent groups; and
- // Geographical balance.

Policy Unit co-leaders can be nominated by Member States, stakeholders recognized by the UNECOSOC, and Habitat II accreditations, and specially accredited organizations.

Based on the proposals received, the Secretary-General will appoint 20 organizations to co-lead ten Policy Units.

STARTING DATE: September 2015

CLOSING DATE: 29 February 2016 (involvement until the end of the Habitat III process might be requested at the later stage)

DUTIES AND RESPONSABILITIES OF CO-LEADERS

In close collaboration with the Habitat III Secretariat:

- Coordinate contribution on substantive documents prepared by selected Policy Unit experts;
- Coordinate preparation of a detailed structure of the draft Policy Papers;
- Support analysis of the available data, including available statistics, information available in Habitat III Issue Papers, outcomes from official Regional and Thematic Meetings, etc.
- Support presentation of the structure and the preliminary contents and messages of the Policy Papers at Expert Group Meetings;
- Coordinate meetings organized online; and





- Submit draft and final deliverables of respective Policy Units to the Secretary-General of the Conference.

BENEFITS AND EXPENSES

The work of co-lead organizations is on voluntarily basis. The Habitat III Trust Fund will cover travel expenses and associated daily allowances for the two planned Expert Group Meetings.

The working language will be English.

CALENDAR

- September 2015: work of experts starts. Introduction, orientation kit, background documents, strategic framework for each Policy Unit, decisions on each group on calendar of Expert Group Meetings, operational arrangements, etc.
- October 2015: first Expert Group Meeting
- November 2015: second Expert Group Meeting
- December 2015: first draft of the ten Policy Papers (as established by PrepCom2)
- January 2016: written comments by Member States and stakeholders submission period
- February 2016: final presentation of the ten Policy Papers
- Virtual meetings may take place within the period of work of the Policy Unit



Appendix C. Terms of reference for Policy Unit experts



HABITAT III POLICY UNITS TERMS OF REFERENCE FOR EXPERTS

Organizational setting

Habitat III is the United Nations Conference on Housing and Sustainable Urban Development to take place in October 2016. In resolution 66/207 and in line with the bi-decennial cycle (1976, 1996, and 2016), the United Nations General Assembly decided to convene the Habitat III Conference to reinvigorate the global commitment to sustainable urbanization, to focus on the implementation of the "New Urban Agenda", building on the Habitat Agenda of Istanbul in 1996.

The objective of the Conference is to secure renewed political commitment for sustainable urban development, assess accomplishments to date, address poverty, and identify and address new and emerging challenges. The Conference will result in a concise, focused, forward-looking, and action-oriented outcome document.

The Conference is addressed to all Member States and relevant stakeholders, including parliamentarians, civil society organizations, regional and local government and municipality representatives, professionals and researchers, academia, foundations, women and youth groups, trade unions, and the private sector, as well as organizations of the United Nations system and intergovernmental organizations.

Habitat III will be one of the first UN global summits after the adoption of the Post-2015 Sustainable Development Agenda. It offers a unique opportunity to discuss the important challenge of how cities, towns, and villages are planned and managed, in order to fulfill their role as drivers of sustainable development, and hence shape the implementation of a new global development agenda and climate change goals.

Policy Units

As part of the preparatory process for Habitat III, several initiatives are being developed in order to serve as technical inputs for the preparation of the outcome document, including the Policy Units. Each out of ten Policy Units will be composed of 20 technical experts working in academia, government, civil society, and regional and international bodies, among other fields.

Policy Units are intended to identify challenges, policy priorities, and critical issues as well as the development of action-oriented recommendations for the implementation of the New Urban Agenda. The issues discussed by each Policy Unit, and the ten Policy Papers prepared, will serve as technical inputs for Member States' consideration in the preparation of the outcome document of the Conference.





The main objectives of the Policy Units are:

- // To bring together high-level expertise to explore state-of-the-art research and analysis on specific themes;
- // To identify good practices and lessons learned; and
- // To develop policy recommendations on particular issues regarding sustainable urban development.

The ten Policy Units will focus respectively on the following ten topics:

1. Right to the City, and Cities for All;
2. Socio-Cultural Urban Framework;
3. National Urban Policies;
4. Urban Governance, Capacity and Institutional Development;
5. Municipal Finance and Local Fiscal Systems;
6. Urban Spatial Strategy: Land Market and Segregation;
7. Urban Economic Development Strategies;
8. Urban Ecology and Resilience;
9. Urban Services and Technology; and
10. Housing Policies.

2

The Policy Unit co-leaders

Each Policy Unit is co-led by two organizations appointed by the Secretary-General of the Conference, upon selection by the Secretary-General in close consultation with the Bureau of the Preparatory Committee for Habitat III.

In close collaboration with the Habitat III Secretariat, the Policy Units co-leaders:

- Coordinate contribution on substantive documents prepared by selected Policy Unit experts;
- Coordinate preparation of a detailed structure of the draft Policy Papers;
- Support analysis of the available data, including available statistics, information available in Habitat III Issue Papers, outcomes from official Regional and Thematic Meetings, etc.
- Support presentation of the structure and the preliminary contents and messages of the Policy Papers at Expert Group Meetings;
- Coordinate meetings organized online; and
- Submit draft and final deliverables of respective Policy Units to the Secretary-General of the Conference.





The Habitat III Secretariat

The Habitat III Secretariat is the main focal point for the Policy Unit experts and works closely with the Policy Unit co-leaders in ensuring the coordination of the elaboration of the Policy Papers.

The Policy Unit experts

Selected experts will be home-based.

Starting date: 1 September 2015

Closing date: 29 February 2016 (involvement until the end of the Habitat III process might be requested at the later stage) Duties and responsibilities:

- Contribute to reviewing substantive documents prepared for the Post-2015 process, and other relevant intergovernmental conferences;
- Support the analysis of the available data, including available statistics, information available in Habitat III Issue Papers, outcomes from official Regional and Thematic Meetings, etc.;
- Support preparation of the structure and the preliminary contents and messages of the Policy Papers at the first and second Expert Group Meetings (EGM1 and EGM2);
- Participate in the meeting organized online and other virtual exchanges;
- Advise on incorporating proposed changes into the draft Policy Papers, harmonize Policy Papers, and submit to the Habitat III Secretariat.

3

Benefits and expenses:

The work of experts is on voluntarily basis. The Habitat III Trust Fund will cover travel expenses and associated daily allowances for the two planned expert group meetings.

The working language will be English.

Calendar:

- September 2015: work of experts starts. Introduction, orientation kit, background documents, strategic framework for each Policy Unit, decisions on each group on calendar of expert group meetings, operational arrangement, etc.
- October 2015: first Expert Group Meeting
- November 2015: second Expert Group Meeting
- December 2015: first draft of the ten Policy Papers (as established by PrepCom2)
- January 2016: written comments by Member States and stakeholders submission period
- February 2016: final presentation of the ten Policy Papers
- Virtual meetings may take place within the period of work of the Policy Unit



Appendix D. Policy Paper Framework template

  HABITAT III POLICY UNIT - POLICY PAPER FRAMEWORK				
	Expected Accomplishment	Activities	Scope	Outcome
1. Challenges	Identify challenges, including structural and policy constraints	Review of the Habitat III Issue Papers	Local level, national level, stakeholders ... Other specificities: type of country (small island, landlocked...), type of city (intermediate, megalopolis...), specific area (tropical zone, subregion...)	Problem definition is established after an analysis and assessment of the state and trends regarding the issues of the specific policy unit.
		Review/ analysis of key publications/documents		
		Identification of examples/projects/practices		
		Identify research and data		
2. Priorities	Identify the policy priorities and critical issues for the implementation of a New Urban Agenda	Establish a criteria for identifying policy priorities	Local level, national level, stakeholders ... Other specificities: type of country (small island, landlocked...), type of city (intermediate, megalopolis...), specific area (tropical zone, subregion...)	Policy options are established and a criteria to prioritize them in terms of impact and transformation is created
		Define key transformations to achieve by policy priorities		
		Identify conditions or external factors favourable for the success of the policy priorities		
		Create targets for those policy priorities		
3. Implementation	Develop action-oriented recommendations	Identify key actions at all levels of implementation	Local level, national level, stakeholders ... Other specificities: type of country (small island, landlocked...), type of city (intermediate, megalopolis...), specific area (tropical zone, subregion...)	Policy design , implementation and monitoring
		Analyse financial resources required and instruments for their sustainability		
		Establish indicators of successful implementation, monitoring and evaluation		
		Analyse linkages with the Agenda 2030		



  HABITAT III POLICY UNIT - POLICY PAPER FRAMEWORK (CHALLENGES)			
	Expected Accomplishment	Activities	Outputs
1. Challenges	1.1. Identify challenges, including structural and policy constraints	a. Review of the Habitat III Issue Papers	a.1. Main recommendations to take into account from the issue paper a.2. Disagreements/controversy
		b. Review/ analysis of key publications/documents	b.1. Bibliography / Key documents
		c. Identification of examples/projects/practices	c.1. List of examples/projects/practices
		d. Identify research and data	d.1. SDGs targets and indicators related d.2. List of other indicators to be taken into account

  HABITAT III POLICY UNIT - POLICY PAPER FRAMEWORK (PRIORITIES)			
	Expected Accomplishment	Activities	Outputs
2. Priorities	2.1. Identify the policy priorities and critical issues for the implementation of a New Urban Agenda	a. Establish a criteria for identifying policy priorities	a.1. List of criteria
		b. Define key transformations to achieve by policy priorities	b.1. List of key transformations
		c. Identify conditions or external factors favourable for the success of the policy priorities	c.1. List of external factors
		d. Create targets for those policy priorities	d.1. List of targets



  HABITAT III POLICY UNIT - POLICY PAPER FRAMEWORK (IMPLEMENTATION)			
	Expected Accomplishment	Activities	Outputs
3. Implementation	3.1. Develop action-oriented recommendations	a. Identify key actions at all levels of implementation	a.1. Key actions
		b. Analyse financial resources required and instruments for their sustainability	b.1. Financial resources
		c. Establish indicators of successful implementation, monitoring and evaluation	c.1. Indicators of success c.2. Monitoring mechanisms c.3. Linkages with the Agenda 2030

Appendix E. Policy Paper template



United Nations Conference on Housing and Sustainable Urban Development

Policy Paper Template

25 pages [Calibri (Body)/ font 11]

Executive Summary:

This section summarizes the key issues, contents, objectives, and strategic directions covered by the respective Policy Units. [2 pages]

1. Vision and Framework of the Policy Paper's Contribution to the New Urban Agenda

This section provides guiding principles, global norms, and frameworks (e.g. SDGs) that link to the New Urban Agenda. [2 pages]

2. Policy Challenges

This section discusses key policy issues and challenges and also provides analyses and assessments of the states and trends of the thematic areas covered. [4 pages]

3. Prioritizing Policy Options – Transformative Actions for the New Urban Agenda

This section identifies policy priorities and critical recommendations for the implementation of the New Urban Agenda, criteria for the policy priorities, and targets. [5 pages]

4. Key Actors for Actions – Enabling Institutions

This section identifies key actors such as central and local governments, academia, civil society organizations, private sector and social movements, and others to transform policy priorities to actions that will contribute to the achievement of the New Urban Agenda. [5 pages]

5. Policy Design, Implementation, and Monitoring

This section addresses operational means to implement policy recommendations, including possible financing options and monitoring instruments. It discusses analysis of linkages with the 2030 Agenda. [5 pages]

6. Conclusion

This section summarizes the key messages, highlighting the new opportunities for action in realizing the New Urban Agenda. [2 pages]

Annexes:

Policy Paper Framework

Other annexes to be considered such as case studies



Appendix F. Web links to Policy Unit 6 background documents

Policy Paper 6 Framework

<http://habitat3.org/wp-content/uploads/PU6-HABITAT-III-POLICY-PAPER-FRAMEWORK.pdf>

Comments received by Member States to the Policy Paper 6 Framework

<http://habitat3.org/the-new-urban-agenda/preparatory-process/policy-units/>

Brazil
Colombia
Ecuador
European Union and Member States
Finland
France
Germany
Japan
Mexico
Netherlands (the)
Norway
Russian Federation (the)
Senegal
United States of America (the)

Comments received by stakeholders' organizations to the Policy Paper 6 Framework

<http://habitat3.org/the-new-urban-agenda/preparatory-process/policy-units/>

Habitat International Coalition
HelpAge International
Institute for Global Environmental Strategies
TECHO
Union for International Control Cancer
World Resources Institute





United Nations

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