



Kurdistan Vision 2020 Joint Programming Facility

Joint Programme/Project Document

Programme Title: Strengthening Urban and Regional Planning in KRG	Programme Number:
Government Institution(s) <i>(Specify Coordinating Institution)</i> Ministry of Municipalities and Tourism Erbil Governorate	Participating UN Organization(s) <i>(Specify Coordinating Organization)</i> UN-Habitat

Programme/ Project Coordinators	
Government Coordinating Institution	UN Coordinating Agency
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Programme Costs:		Programme Location:
KR-I Contribution:	US\$ 944,000	Governorate(s): KRG Region and Erbil Governorate
UN Organization(s)	US\$ 126,950	District(s):
Total (USD):	US\$ 1,070,950	

Programme Description:

The Kurdistan Region has a population of 4,698,790 distributed over an area of 38,650 km² in the three governorates of Erbil, Suleimaniyah and Dohuk. The region has a very high urbanization rate of 82%. The three Governorate capitals of Erbil, Suleimaniyah and Dohuk accommodate 40% of the Region population. Master plans have been prepared for the main cities and some districts, however without the overall consideration of a regional plan. The rural settlements structure is largely dispersed comprising of 3,852 villages, more than half of which have 100 inhabitants or less, making infrastructure investment unfeasible. As populations grow and as the region develops economically, urban and regional planning in KR-I is vital to ensure social equity, economic effectiveness, and environmental sustainability, through the appropriate, efficient and sustainable use of land.

However KR-I has very limited capacity in urban, regional and land-use planning. This project aims to address the following critical issues:

1. Lack of trained professionals
2. The need for clear vision and well managed urban planning teams
3. Lack of a regional spatial plan aligned with KRG sectoral development directions, that provides context to district and urban plans
4. The need to periodically review the existing urban master plans
5. The need for an improved system for urban and regional planning
6. The need for political and public support to mobilise changes in the urban planning and land management system.

These issues will be addressed by building the capacity of urban planning units in Erbil Governorate and within Ministry of Municipalities and Tourism, through formal training and on-the-job learning.

Programme Duration

Total duration (in months): 18 months
 Expected Start Date: 1st January 2014
 Expected End Date: 30th June 2015

Review & Approval Dates

Line Ministry/ Authority Endorsement Date: MoMT letter 18729 dated 3 December 2013
PCN Approval Date: MoP letter 6764 dated 4 December 2012
Technical Committee Review Date:
Steering Committee Approval Date:

Signatures of Participating UN Organizations and Steering Committee Co-Chairs

I.	Name of Representative	Erfan Ali
	Signature	
	Name of UN Organization	UNHABITAT
	Date	
IV.	Name of Steering Committee Chair (UN)	Jacqueline Carol Badcock
	Signature	
	Date	
IV.	Name of Steering Committee Chair (KRG)	Dr. Ali Sindi
	Signature	
	Date	

Relevant Kurdistan Vision 2020 Priority Area and Outcome: Priority Area 2: Infrastructure

Relevant KRG Development Plan Goal(s):

A vibrant private housing sector in which all residents of the Kurdistan Region have decent shelter.

- *Improving land-use regulations*
- *Reforming land titling and ownership.*
- *Encouraging development of mixed-income neighborhoods.*

A transportation network that connects every inhabited location in the Kurdistan Region to every other inhabited location in the Kurdistan Region and to the world.

Water, sanitation, and electricity services that reach every home and supply every industry.

Relevant UNDAF Priority Area and Outcome:

UNDAF Priority 4: Increased access to quality essential services

Outcome 4.1: Government of Iraq has participatory and accountable policy framework and implementation mechanisms for the delivery of quality basic services at all levels.

**JP/ Project Budget Breakdown
by
Source of Funds and KR-I and Participating UN Organization**

Total Project Budget (in US \$): _____ 1,070,950 _____

* In case of Budget tranching please list the tranches here.

Participating UN Organization	Kurdistan Vision 2020 Joint Programming Facility (US \$)	Participating UN Organization Funds (US \$)	
		Core Funds	Non –core
UN-Habitat	US\$ 944,000	US\$ 126,950	
Total Budget (US \$)	US\$ 944,000	US\$ 126,950	

Participating UN Organization	Tranche 1	Tranche 2	Total approved budget
UN-Habitat	US\$ 377,600	US\$ 566,400	US\$ 944,000
Total	US\$ 377,600	US\$ 566,400	US\$ 944,000

1. Executive Summary

The Kurdistan Region has a population of 4,698,790 distributed over an area of 38,650 km² in the three governorates of Erbil, Suleimaniyah and Dohuk. The region has a very high urbanization rate of 82%. The three Governorate capitals of Erbil, Suleimaniyah and Dohuk accommodate 40% of the Region population. Master plans have been prepared for the main cities and some districts, however without the overall consideration of a regional plan. The rural settlements structure is largely dispersed comprising of 3,852 villages, more than half of which have 100 inhabitants or less, making infrastructure investment unfeasible. As populations grow and as the region develops economically, urban and regional planning in KR-I is vital to ensure social equity, economic effectiveness, and environmental sustainability, through the appropriate, efficient and sustainable use of land.

The KRG vision for 2020 includes establishing

- a vibrant private housing sector in which all residents of the Kurdistan Region have decent shelter.
 - Improving land-use regulations
 - Encouraging development of mixed-income neighborhoods.
- A transportation network that connects every inhabited location in the Kurdistan Region to every other inhabited location in the Kurdistan Region and to the world.

- *Water, sanitation, and electricity services that reach every home and supply every industry.*

Moreover KRG aims to establish a *"healthy and safe environment, with clean water, land, and air, for posterity and that enables the economy to grow."*

With competing demands and competition for land, increasing urbanisation and increasing scarcity of natural resources, achieving the above visions requires strategic planning, at city, district, governorate and regional levels. Planning processes allow citizens to participate in prioritising needs across a range of dimensions, including economic, social and environmental. Through ascertaining priorities and how they play out spatially – ie what needs to go where, the government is able to plan year by year its priority investments in accordance with an agreed plan. Planning allows government to make decisions on land-uses in order to meet current and projected needs, consider the phasing and density of urban growth in order to accommodate growing urban populations while minimising impacts on agricultural land, define areas for industrial expansion and natural conservation, explore economic opportunities through urban growth corridors along strategic routes, reduce traffic and generate local employment through mixed use urban areas, improve the effectiveness of agricultural economies through planning market towns with links to villages, cities and main roads, etc.

That said, KRG has very limited capacity in urban, regional and land-use planning. Currently this work is given to foreign and local companies, and without a cohesive framework of a regional spatial plan, district, governorate and city plans are incongruent and quite ineffective. This project aims to understand better the existing planning capacities of KRG, and priority planning needs. Through a training programme and on-the-job learning, at regional and governorate levels, the project will address following critical issues:

1. Lack of trained professionals
2. The need for clear vision and well managed urban planning teams
3. Lack of a regional spatial plan aligned with KRG sectoral development directions, that provides context to district and urban plans
4. The need to periodically review the existing urban master plans
5. The need for an improved system for urban and regional planning
6. The need for political and public support to mobilise changes in the urban planning and land management system.

The project aims to establish urban planning units in Erbil Governorate and within Ministry of Municipalities and Tourism, and improve the capacity of staff so that they can perform planning duties. Essential components of the planning process includes participatory planning approaches, and cross cutting issues of gender and environment.

2. Situation Analysis

Planning at the Regional Level

The Kurdistan Region has a population of 4,698,790 distributed over an area of 38,650 km² in the three governorates of Erbil, Suleimaniyah and Dohuk. The region has a very high urbanization rate of 82%. The three Governorate capitals of Erbil, Suleimaniyah and Dohuk accommodate 40% of the Region population. The Region populations are mostly concentrated in the triangle of Erbil, Suleimaniyah and Rania districts, in addition to the northern growth hubs of Dohuk and Zakho Districts. The rural settlements structure is largely dispersed. It comprises 3,852 villages. Up to 95 % of these villages have 1000 inhabitants or less, while more than half of these villages have 100

inhabitants or less. This rural structure is continuously evolving. It suffers from low growth rates, specifically in Dohuk and Suleimaniyah. The very large number and dispersed structure of rural settlements in the KRG does not support a feasible provision of infrastructure investment. It poses a huge pressure on the KRG resources and causes a clear discrepancy in the provided services between rural and urban areas.

The region is witnessing high population growth rates. In 2010, the annual growth rate reached 4.5%. Urban areas, Dohuk City and Erbil Governorate in particular are witnessing significant growth resulting from positive migration into the KRG and from rural areas in the KRG.

The KRG needs comprehensive regional planning in order to guide its urban and population growth. The key objectives for such regional planning should focus on achieving more synergy between its urban growth centers, and more feasible investment in infrastructure provisions. The regional spatial plan, currently under discussion within KRG will articulate spatially the various sectoral development plans that are being generated. In other words it will adjust transport networks, physical development plans and land uses in order to align with development visions, environmental and social concerns. In so doing will resolve clashes in land use and physical planning demands, that would not have been considered when the sectoral development plans were prepared in isolation of one another. Regional planning should also:

- provide a restructuring plan of rural settlements that consolidates rural growth into a less dispersed pattern and
- guide urban growth to create urban development corridors and development hubs in key strategic locations.

Urban Planning At the City Level (Erbil)

Erbil city has a population of 732,587 inhabitants and occupies 125 Km². The city has originated around the historic Erbil Citadel. It is horizontally expanded on a flat terrain. It follows a development pattern of circular rings around one focal center. The center is dominated by mixed use activities that attract heavy pedestrian and vehicular traffic. The built up part of the City comprises 5 development rings that end with a 100m road (Ring Five). The City fabric is mostly a horizontal low rise residential fabric. Development densities within Ring Five range between 100 - 200 persons/ hectare. Within this ring, extra capacity between 253,500- 338,000 residents exist. Such capacity is sufficient to accommodate Erbil City population growth till 2015. Despite this capacity, the City is expanding beyond Ring Five due to many new developments and private investments. As a result, Infrastructure implementation is not able to match the dispersed development speed. The City Master Plan provides guidance for the city development till 2030. It promotes the continuation of the concentric ring radial pattern under the same assumption of horizontal spread and dispersed development. It recommends the concept of opening-up infrastructure for the purpose of attracting all kinds of investments at the same time without prioritizing certain locations, uses or infrastructure phasing. This development pattern contributes to a costly provision of infrastructure, and promotes urban sprawl. A 2012 study by UN-Habitat recommended:

- amending the master plan in order to consider a more compact development pattern, higher target densities and less residential land use designations,
- developing phasing plan to combat sprawl and program infrastructure investment.
- guiding development towards already serviced areas before opening new locations for development.

In addition, recommendations were made in relation to on-going and planned developments in terms of infrastructure availability, capacity and additional needs, and new priority investment projects were suggested to improve the urban and pedestrian environment in the city, and to upgrade some of its old and informal neighborhoods.

Urban Planning Institutional Framework

Urban planning and development in the KRG is highly centralized. The Ministry of Municipalities and Tourism plays the leading role in the urban planning process. Line ministries are responsible for the planning and implementation of social and infrastructure services. The Governorate and the Governor have a parallel role in overseeing and implementing urban plans and services. Municipalities have limited power and role. They act as administrative units under the Ministry of Municipalities and the governors authorities.

Within this setup, urban development and urban management suffer from fragmentation, weak coordination and responsibilities overlap. The planning and decision making processes are divided between the urban planning directorates on the central level controlled by the Ministry of Municipalities, and on the local levels controlled by the governorates. Consequently, there isn't much clarity about the hierarchy of planning decision making and approvals. Moreover, the process does not allow for community engagement or representation due to the weak municipal system.

The KRG needs to strengthen local governments and enable them to assume stronger roles and powers in managing their cities. In this regard, UN-Habitat's 2012 study recommends establishing a legal framework that allows municipalities to enjoy more authority and representation in the planning process. In addition, strengthening municipal bodies technical, administrative and financial capacities are also recommended.

Urban Planning Capacities

MMT has a small urban planning unit that is responsible for regional planning issues, including commissioning city and district master plans, and has recently be tasked to prepare a regional spatial plan. This unit has 30 staff, none of whom are urban planners with the exception of the DG. The Erbil Governorate has a municipal planning directorate – this has 130 staff and is tasked to implement the Erbil city master plan, district plans and plans for smaller urban areas. Again, none of the staff are urban planners. Urban planning functions are staffed by architects, engineers and surveyors – none with training in urban and regional planning. The urban and regional planning function is not only weak from the point of view of professional capacity, but weak in relation to its role in governing the management of spatial development. Physical plans, particularly for investment projects frequently bypass the governorate and regional planning directorates. Despite the fact that master plans have been prepared, there is no institutional mechanism to regulate and enforce their implementation.

Two critical issues are needed

- 1 – to build the professional capacity of urban planning directorates at regional and governorate levels
- 2 – to establish a functional urban planning and land management regime

3. JP/ Project context and its relevance to Kurdistan Vision 2020 5 and UNDAF, including Cross-Cutting Themes, and UN Organization Experience including any Lessons Learned

In relation to the Kurdistan Vision 2020, UNDAF and MGDs the project addresses three main issues – improving local governance and decision making; developing a framework for equitable planning of infrastructure and other investments, and protecting scarce environmental resources.

Local Governance

UNDAF Priority 1: Improved governance, including protection of human rights

Outcome 1.2: The Iraqi state has more efficient, accountable and participatory governance at national and sub-national levels.

MGD Goal 3: Promote gender equality and empower women

Urban and Regional Planning processes provide platforms for the engagement of citizens, including women and marginalised groups in local decision making. Urban and regional planning processes provide opportunities for citizen participation in discussions on local social, economic and environmental priorities, including rights to access basic services. Based on participatory, multi-stakeholder processes, strategic plans, spatial plans and land use plans are developed, providing the basis for effective investment in line with development priorities and principles of social equity. Throughout the training sessions and on-the job learning, gender equality, broad based participatory processes and human rights will be emphasised, to the extent that urban planners trained will be well equipped to involve people in decision making, and develop plans that reflect shared priorities, particularly those of marginalised groups.

Access to basic services

KRGs Vision 2020 Draft calls for a *“vibrant private housing sector in which all residents of the Kurdistan Region have decent shelter.”* To do this, it recognises the need for:

- Improving land-use regulations
- Reforming land titling and ownership.
- Encouraging development of mixed-income neighborhoods.

It also calls for a *“transportation network that connects every inhabited location in the Kurdistan Region to every other inhabited location in the Kurdistan Region and to the world.”*

And for *“Water, sanitation, and electricity services that reach every home and supply every industry.”*

MGDs

- Target 7c: Reduce by half the proportion of people without sustainable access to safe drinking water and basic sanitation
- Target 7d: Achieve significant improvement in lives of at least 100 million slum dwellers, by 2020

UNDAF Priority 4: Increased access to quality essential services

- Outcome 4.1: Government of Iraq has participatory and accountable policy framework and implementation mechanisms for the delivery of quality basic services at all levels.

- Outcome 4.4: People in Iraq have improved access to safe water, sanitation, electricity and municipal services.
- Outcome 4.5: People in Iraq are provided with access to adequate housing in line with international standards.

Urban and Regional Planning processes provide the framework for participatory assessment, planning and implementation of service provision needs, and through publicising strategic planning documents and aligning annual investment budgets accordingly a framework for accountability on the delivery of services is formed.

Urban planning processes aim to acquire holistic understandings of needs from economic, social and environmental perspectives, and plan local investments in order to meet development priorities in the most efficient way possible. For instance the provision of infrastructure in Erbil is currently way more expensive than it should be, because the city master plan lacks a phasing plan, and building densities are low, meaning there is pressure for infrastructure wherever land is developed and per capita investment costs are high. Planning allows more efficient and strategic investment in infrastructure, in order to reach development goals as well as immediate needs. Likewise land use planning is outdated and fails to meet housing and social infrastructure requirements, economic requirements and conservation needs. Planning provides a better understanding of sectoral needs and how land use can be modified in order to strategically meet priority needs.

Environment

KRG Draft Vision 2020 calls for a *“healthy and safe environment, with clean water, land, and air, for posterity and that enables the economy to grow.”*

Complementing this, the UNDAF Priority 3 calls for “Environmental management and compliance with ratified international environmental treaties and obligations”

Outcome 3.1: The Iraqi state has institutionalized policy and operational framework for the sustainable management and conservation of natural resources.

MGDs:

Goal 7: Ensure environmental sustainability

Kurdistan Region has a rapidly depleting water table as well as areas of natural beauty that must be conserved. Increasing vehicular usage and lack of public transport is increasing pollution. Regional and urban planning provides the opportunity to spatially define and regulate areas of importance for conservation, reduce emissions by planning public transport, and reducing vehicular requirements by encouraging mixes of uses in urban areas. Environmental impacts can also be regulated through the planning process by enforcing environmental impact assessments.

UN Organization Experience in the Priority Area and Lessons Learned:

UN-Habitat is the UN Agency for human settlements. It is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all. In Iraq and the Kurdish Region, UN-Habitat’s Programme focus for the period 2013-2015 is to work with central and local government partners to support the strengthening of all aspects of governance and management in urban areas. This includes a wide range of issues including effective urbanization, urban planning and local governance; improved land management and administration; increased emphasis on pro-poor housing; and improved infrastructure and basic services. The corresponding UN-Habitat Country Programme Document

(CPD) for Iraq, has been prepared in close collaboration with the National Habitat Committee and is closely aligned with the development priorities of Iraq as presented in the National Development Plan (NDP) and the Kurdistan Region Development Strategy. The CPD provides the framework for greater partnerships with all the development players, and is equally considered a major tool to advocate UN-Habitat's mandate and to guide the implementation process. In KRG UN-Habitat has been involved in neighbourhood planning issues through the upgrading of Kurani Ainkawa in Erbil. In doing so, was able to acquire hands on experience in participatory planning process in the Kurdish context. Also in the recent UNDP led Socio-economic needs Assessment, UN-Habitat undertook a study on the urban and regional planning regime in Iraq, the outcome of which has influenced the design of this project. UN-Habitat has a substantive global branches on urban and regional planning and urban economy, whose expertise can be drawn on in the implementation of this project.

The Proposed JP/ Project and how it addresses Crosscutting Themes:

This project addresses the following issues:

1 – Lack of trained professionals:

There are currently no trained urban and regional planners in Kurdistan Region. This function is undertaken by architects, engineers and surveyors. Accordingly there is a tendency for government to subcontract such services to private (usually international) companies. Lacking this capacity, KRG is ill equipped to generate appropriate TORs for such services and to evaluate the work undertaken by these companies, and then to review and update the master plans periodically. This has resulted in sprawling city master plans, inefficient planning densities, and a "zoned" approach to urban planning that is out of touch with the needs of contemporary cities. Lack of capacity to guide, review and regulate proposed developments has left the planning system open to urban developments, undertaken by investors, which simply meet project specific requirements without coherence with a wider urban and regional planning context. Core training on the principles of contemporary urban planning is essential for staff that perform planning functions.

2. The need for clear vision and well managed urban planning teams

While the acquisition of technical skills is the most obvious of the prevailing needs, it is to be expected that the organisation of two planning units – at a regional level and at the Erbil Governorate level- will necessitate confronting certain managerial and internal organisational issues. Improving the technical competence of personnel is likely to represent only half the equation. For personnel to put newly acquired techniques to use they will need a supportive workplace environment where the prevailing expectations encourage and allow them to engage in new ways, working in teams with their colleagues on problems both old and new.

The exact nature of the management issues to be addressed is yet to be determined but is likely to include matters of staff morale; the need for visioning future directions; the need for a proactive approach to addressing problems through team work with a sense of personal responsibility; working to agreed outputs and results; the need for rules on the sharing of information with others; professional certification and accreditation; and the introduction of personnel performance standards.

3. Lack of a regional spatial plan aligned with KRG sectoral development directions, that provides context to district and urban plans

Despite the need articulated by the Prime Minister to undertake a regional spatial plan, there is limited understanding within the KRG of the value of regional planning and limited capacity to develop a regional spatial plan. While another project is proposed by UN-Habitat in response to MMT's request to develop a regional spatial plan, basic training of the staff of the regional planning

unit is required, to acquire basic knowledge prior to the launch of the proposed initiative.

4. The need to periodically review the existing urban master plans

City Master Plans are designed to be iteratively updated following changing needs. The Erbil Master Plan was prepared without significant public consultation, the implementation of infrastructure has followed investor interests rather than through a logical phased process – this has resulted in sporadic, low density development. The project provides an opportunity to review the Erbil Master Plan and amend in line with contemporary needs and improved understanding of urban planning.

5. The need for an improved system for urban and regional planning

The Ministry's Planning Department has already put in a great deal of effort in developing a set of Master Plans for different parts the country. These however constitute only part of what is normally required to make an effective system for spatial planning and the control of development, especially the exercise of land use control so that it serves the public interest. To achieve this, a state land management policy is needed, accompanied by legislation that underpins a workable system for implementing the policy. The policy should incorporate a description of mechanisms for getting stakeholders to follow the master plans that are prepared as well as, for example, the acquisition, management and disposal of land held in trust by government ministries and other agencies.

It should be noted that, following a long period of struggle with oppressive regimes, the political and social climate in Kurdistan is one within which people at all levels are understandably suspicious of any move by Government to limit freedom and exercise control. Nevertheless, for any country that values its heritage and its natural environment and that wishes to protect the interests of the community at large, including future generations, a planning system and effective procedures for land use management are inescapable. The project therefore will study the existing urban and regional planning system and land management system and will establish recommendations on the establishment of effective contemporary systems that meet the needs of the region.

6. The need for political and public support to mobilise changes in the urban planning and land management system

Although master plans are usually developed in response to requests from individual district and sub-district authorities, in general there is a lack of understanding – both within Government and within the wider community – concerning the importance of the planning function and its value to the society. Lack of a consensus on the essential nature of planning and the need for a legal framework within which it can operate undermines the usefulness the existing work. Master plans alone are not sufficient, but the development of a planning system, including the establishment of regulatory bodies, appeals procedures and enforcement mechanisms, can proceed only where there is a general understanding of the value that these services bring to the wider community.

To develop the necessary consensus, needs exists at two levels. First, planners require a better and more sympathetic understanding of the way in which the investment sector and other government ministries think and operate. Planning cannot be imposed in the absence of an in-depth appreciation of the needs of the key stakeholders that are affected. Secondly, the wider community, as well as other government ministries, need to understand better the planning procedures currently used by the Ministry of Municipalities. The need for developments in the planning system and its connection with good governance also need to be recognised.

The project's outputs comprise four elements arranged under two headings:

1. Capacity development for personnel

- 1.1 Technical knowledge associated with the planning function.
- 1.2 Managerial knowledge associated with the planning function.

1.3 Technical and Managerial skills developed through practice

2. Paving the way for improving urban and regional planning for Kurdistan.

2.1 Addressing the need for an improved system for planning.

2.2 Communicating planning messages to other parts of government and to the community at large.

Beneficiaries of the Project are:

Ministry of Municipalities and Tourism -

- The Directorate General of Physical Planning
- Directorate of Studies
- Erbil Governorate – Physical Planning Directorate

The project will report to and be accountable to the HE the Minister of Municipalities and Tourism and to HE the Erbil Governor.

Cross cutting issues:

Regional and urban planning processes able to ensure that environmental, economy, gender, youth and social equity considerations are tangibly incorporated into spatial development, plans – these processes also enable a sounding board for play-offs between conflicting concerns, in order to reach balanced solutions. Training modules are dedicated to environmental, economic, social and gender considerations in urban planning

Sustainability of Results:

The project is entirely focused on developing the capacities within KRG institutions through formal training and on-the-job learning, so that KRG is better able to plan and manage demographic growth in line with economic development priorities, principles of social equity and environmental sustainability, through developing appropriate city, district and regional planning processes, with active stakeholder participation.

4. Results Framework

This section will contain a brief narrative and summary of the Results Framework (Table 1).

Output 1.1: Staff of urban planning directorates (KRG and Erbil) have improved capacity to fulfil urban and regional planning duties through structured learning

1.1.1. Core Technical officer acquire substantive technical training through interactive learning sessions. (30 CTOs in 2 groups)

Understanding cities (1 WEEK)

- How are cities formed?
- How do cities grow?
- Multi-sectoral understanding of contemporary cities (economic, social, political, culture, environment)

Prerequisite knowledge for urban and regional planning: (1 WEEK)

- Urban and Rural Economy
- Land Management
- Mobility
- Urban and Regional Planning History

Key dimensions of urban and regional planning: (1 WEEK)

- Economic dimensions of urban and regional planning
- Environmental dimensions of urban and regional planning
- Social dimensions of urban and regional planning
- Cultural dimensions of urban and regional planning
- Political dimensions of urban and regional planning

Urban and Regional Planning processes: (1 WEEK)

- Undertaking sectoral assessments
- Planning Processes – including stakeholder participation
- City Planning instruments: intersectoral analysis; spatial analysis; strategic development planning; spatial planning
- Regional Planning instruments: intersectoral analysis; spatial analysis; strategic development planning; spatial planning
- District Planning
- Neighbourhood Planning
- Implementation and regulation of urban and regional plans

Analysis of urban and regional planning in KR: (1 WEEK)

- SWOT Analysis of the spatial development of KR
- SWOT Analysis of Urban and Regional Planning in KR:
- Key issues for sustainable urban and regional planning in KR

Urban Design Principles: (1 WEEK – small specialist team within Erbil Governorate)

- Mixed use design
- Building Densities
- Public spaces
- Urban Infill Development

Secondary Cities: (1 WEEK – small teams from urban planning unit and regional planning unit)

- Market towns
- Consolidating villages
- Urban Corridors

1.1.2. Technical Staff acquire appropriate IT Skills training:

- Total Station: surveying (10 people, 15 days,)
- GIS (20 people, 15 days)

1.1.3. Administrative Staff acquire appropriate administrative skills training: (30 people)

- Human Resource Management
- Financial Management
- Procurement

1.1.4. Administrative Staff acquire basic IT training (60 people)

- Microsoft office: Word, XL, Access

Output 1.2 Well managed and effective teams are in place at KRG and Erbil Governorate

1.2.1. The roles and functions of the Governorate Urban Planning Unit and the Regional Planning Unit are clarified and current capacities understood

- Prepare/ clarify terms of reference for urban planning units
- Prepare an annual work plan for urban planning units
- Undertake institutional capacity assessments of the urban planning units with reference to current situation and capacity assessments undertaken by UN-Habitat in 2011
- Identify key capacity gaps and prepare a training plan (modifying above modules as necessary)

1.2.2. Staff of both units work demonstrate effectiveness as a team, sharing a common vision and understanding of how team's work contributes to the greater good of the Kurdish people

- Staff team building retreat (with expert facilitators) 2 days
- Prepare and implement staff appraisal system

1.2.3. The unit Directors put into practice effective leadership skills

- Training on analysis of the managerial challenges that they face and identify the most constructive ways forward.
- Training on project management
- Training on change management

Output 1.3. The regional planning unit has improved capacity to fulfil urban and regional planning duties through on the job learning

1.3.1. Preparation of a District (or sub-district) Master Plan

- Establish project committee, consisting of MMT, District Council, municipality, Local private sector (eg chamber of commerce), local civil society, local elected leaders – ensure at least 30% women representation.
- Establish local consultation process – link with the WB rural planning project (MoP)
- Undertake Sectoral Studies – locally and with directorates of line ministries: economic, environmental, social, basic series requirements with reference to district and regional dimensions
- Undertake Studies on the social and economic sustainability of small villages and strategies to consolidate villages
- Prepare Strategic Plan
- Prepare a Land Use Plan
- Prepare a district Spatial Plan (including all key layers)
- Draft a phased implementation plan
- Prepare a short term investment plan

Output 1.4. The Erbil urban planning unit has improved capacity to fulfil urban and regional planning duties through on the job learning

1.4.1. Periodic review of the Erbil Master Plan

- Review the appropriateness of the Erbil Master Plan through consultative process
- Update the master plan, introducing:
 - Public transport system
 - Urban hubs at transport interchanges
 - increased urban densities
 - introducing more mixed use area
 - improved pedestrian environment
 - other issues based on review
- Implementation phasing plan

1.4.2. Prepare a standard TOR for the design of a satellite town

1.4.3. Mixed use urban design

- Develop planning guidelines for mixed use development
- Develop design brief for a selected site through a consultative process

Output 2.1 KRG has a clear vision for an improved system for planning

- 2.1.1 Implement a baseline study on urban and regional planning system and land management system in KR- disseminate to appropriate stakeholders
- 2.1.2 Prepare with key decision makers a vision statement on improved urban and regional planning and land management in KR

(NOTE: it is expected that the regional spatial plan project will include a study tour, which will complement the above)

Output 2.2: Public Awareness and Political Support the Vision

2.2.1. Public Awareness Campaign

- Design, printing and distribution of a full-colour public information brochure advocating the planning function for KRG and describing its benefits for future generations.
- Arranging TV, radio and news print articles describing the work of KRG in planning for a better future for Kurdistan and the need for public support and cooperation in applying the planning function.

2.2.2. Political Support initiated for changes to the planning regime

- Series of high level debates within the Ministers Council

Table 1: Results Framework

Project Title	Strengthening Urban and Regional Planning in KRG
KR-I Vision 2020 Priority Area/Sub-Priority Area	Infrastructure- Housing for Growing Population
UNDAF Priority Area	<p>UNDAF Priority 4: Increased access to quality essential services</p> <ul style="list-style-type: none"> • Outcome 4.1: Government of Iraq has participatory and accountable policy framework and implementation mechanisms for the delivery of quality basic services at all levels.
Relevant MDG(s)	<ul style="list-style-type: none"> • Target 7c: Reduce by half the proportion of people without sustainable access to safe drinking water and basic sanitation • Target 7d: Achieve significant improvement in lives of at least 100 million slum dwellers, by 2020
<p>Relevant KR-I Vision 2020 Priority Area Outcome:</p> <p><i>A vibrant private housing sector in which all residents of the Kurdistan Region have decent shelter.</i></p> <ul style="list-style-type: none"> • <i>Improving land-use regulations</i> • <i>Reforming land titling and ownership.</i> • <i>Encouraging development of mixed-income neighborhoods.</i> <p><i>A transportation network that connects every inhabited location in the Kurdistan Region to every other inhabited location in the Kurdistan Region and to the world.</i></p> <p><i>Water, sanitation, and electricity services that reach every home and supply every industry.</i></p>	

Relevant UNDAF Priority Area Outcome:							
Project Outputs	UN Organization/ Government Specific Output (Applicable in case of JP)	UN Organization/ Government Institution	Other Implementing partner(s)	Performance Indicators	Baseline	Target	Means of Verification
JP/ Project Output 1: Improved substantive and administrative capacities of staff within KRG and Erbil Governorate urban planning units	Output 1.1: Staff of urban planning directorates (KRG and Erbil) have improved capacity to fulfil urban and regional planning duties through structured learning	UN-Habitat; MoMT planning directorate; Erbil Governorate urban planning directorate	IT Academy in Erbil (TBD) for IT training	Core Technical officers acquire substantive technical training through interactive learning sessions. Technical Staff acquire appropriate IT Skills training: Administrative Staff acquire appropriate administrative skills training: (30 people) Administrative Staff acquire basic IT training (60 people)	Inadequate knowledge base in urban and regional planning Inadequate skills in Total Station and GIS Inadequate skills in Human Resources, Procurement and Financial Management Inadequate IT skills amongst admin staff	30 CTDs in 2 groups have adequate knowledge base 10 staff able to use Total Station and 20 staff able to use GIS 30 admin staff are better able to carry out administrative, procurement and financial management tasks 60 staff acquire skills in Microsoft Word and Excel	Written tests and training evaluations Skills tests, on-the-job monitoring Skills tests, on-the-job monitoring Skills tests, on-the-job monitoring

	<p>Output 1.2. Well managed and effective teams are in place at KRG and Erbil Governorate</p>	<p>UN-Habitat; MoMT planning directorate; Erbil Governorate urban planning directorate</p>		<p>The roles and functions of the Governorate Urban Planning Unit and the Regional Planning Unit are clarified and current capacities understood</p> <p>Staff of both units work demonstrate effectiveness as a team, sharing a common vision and understanding of how team's work contributes to the greater good of the Kurdish people</p> <p>The unit Directors put into practice effective leadership skills</p>	<p>Lack of TORs, annual work plans, capacity assessments for urban planning units and their staff</p> <p>Limited team spirit</p> <p>Inadequate performance appraisal system</p> <p>Limited project management skills, change management requirements and operation inadequately understood</p>	<p>TORs, work plans, capacity assessments prepared and training needs identified</p> <p>90% of staff participate in staff retreat</p> <p>Performance appraisal system prepared and implemented</p> <p>Unit leaders trained in problem solving, project management and change management</p>	<p>Documentation</p> <p>Attendance records of staff retreat</p> <p>Performance Appraisal records of all staff by end of project</p> <p>On-the-job monitoring, training certificates, peer review</p>
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		Output 1.3. The regional planning unit has improved capacity to fulfil urban and regional planning duties through on the job learning	UN-Habitat, MoMT planning directorate	Selected Districts and sub-districts	Regional planning unit demonstrates improved knowledge and skills through undertaking a District (or sub-district) Master Plan	Regional planning unit currently unable to prepare district/ sub-district master plan	Regional planning unit is able to prepare a district/ sub-district master plan	District/ sub-district master plan in place; evaluation of methodology indicates good practices learnt in the project have been utilised
		Output 1.4. The Erbil urban planning unit has improved capacity to fulfil urban and regional planning duties through on the job learning	UN-Habitat, Erbil Governorate urban planning directorate		Erbil Planning units demonstrates improved capacity by conducting a periodic review of the Erbil Master Plan, Preparing a standard TOR for the design of a satellite town and prepare a neighbourhood plan incorporating mixed use urban design principles	Erbil Governorate lacks in-house skills to conduct periodic review of Master Plan; no standard TOR for design of satellite town, no in-house capacity for mixed use neighbourhood plans	Review of Erbil Master Plan, TOR for design of town, and mixed use neighbourhood plan prepared by Erbil Governorate urban planning unit	Documents, TOR, neighbourhood plan, evaluation of methodologies reflect good practices taught in training sessions
Project Output 2: Clear vision and political support for enhanced role of urban and regional planning in KRG		Output 2.1 KRG has a clear vision for an improved system for	UN-Habitat, MoMT planning directorate; Erbil Governorate urban planning	KRG Media	baseline study on urban and regional planning system and land	No baseline study and no vision statement on urban and regional planning system and land	Baseline study and vision statement in place	Baseline study and vision statement MoMT and Erbil

planning	Output 2.2: Public Awareness and Political Support the Vision	UN-Habitat; MoMT planning directorate; Erbil Governorate urban planning directorate; Ministers Council	management system vision statement on improved urban and regional planning and land management in KR	management system	Governorate endorsement of vision statement
			Public Awareness on urban and regional planning issues raised through PA campaign; political support for vision statement raised through ministerial debates	Lack of public awareness and political support	Public Awareness campaign; high level meetings
					TV and newspaper broadcasts; minutes of high level meetings

5. Management and Coordination Arrangements¹

Management and Coordination:

The Erbil Urban Planning Unit will be accountable to the Governor of Erbil and the MoMT UPU will be accountable to the Minister of Municipalities and Tourism. The project is funded by the KRG through the Ministry of Planning. A high level steering committee will be established for this project, made up of a representative of the Ministry of Planning, the Erbil Governor, the Minister of Municipalities and the UN-Habitat CTA. The Steering Committee will meet at the outset of the project, to agree on the project document, at mid-term, on submission of the mid term review, and towards the end of the project, before the launch of the media campaign on the vision for the urban planning regime in KR. A monitoring and reporting team will be established which will comprise of the General Managers for urban planning within the ministry and the governorate and the UN-Habitat Human Settlements Officer. This team will meet once per month in order to review deliverables and assess the overall direction of the units. Within each unit there will be a coordination team, comprising of the head of the unit, heads of unit sections and UN-Habitat lead consultant. They will be responsible for the delivery of the project, and will report to the monitoring and reporting team.

6. Feasibility, risk management and sustainability of results

Feasibility:

The project deliberated from an extensive and in-depth participatory process of situation assessment. UN-Habitat has a long track record of successfully operating in Kurdistan Region. UN-Habitat has had intensive working relations with all the main counterparts of different projects for several years, and is therefore fully cognizant of their capacity and commitment to implement the project. The project has been designed on the basis of UN-Habitat's experience in this respect and there are therefore no objective reasons to doubt the feasibility of the proposed project.

Risk Management:

Deterioration in the security situation, as a worst case scenario, may result in suspending operations. This will be mitigated by the project management and implementation approach that adopts joint management with responsibilities with the local partners. The early training of staff in national courses will help in having a qualified staff capable of implementing the project with minimal international involvement. The early assignment of the Project Manager and forming a Steering Committee that regularly meets and resolves bottlenecks will help in overcoming any delays.

Assumptions:

¹ In case of a Joint Programme, this section does not substitute for the UN Organization-specific arrangements required by respective internal policies.

- Active participation and willingness of the local government and institutions to partnership, and this will be encouraged through continuous communication.
- Active engagement of communities and partners.
- Policies and legislations to be enforced through technical and institutional support to the national government.

Sustainability of Results:

The project provides not only formal training on key issues in urban and regional planning, and training to administrative staff, but also provides opportunities for on-the-job learning. All processes incorporate a strong element of citizen participation which will be put into proactive through various exercises implemented by the urban planning units. The project prepares a road-map for strengthening the role of urban and regional planning in KR, and seeks through public meida campaign and high level meetings with politicians to endorse a road-map for doing so. Strategies to ensure sustainability are therefore as follows:

- High level steering committee, in order to provide the work adequate prominence
- Ensuring citizen participation in urban and regional planning processes
- Comprehensive training of staff
- Learning by doing – training is reflected in tasks to be carried out by the units' staff so that learning is internalised
- Analysis of the strengths and weaknesses of the KR urban planning regime and developing a road-map to strengthen it
- Raise citizen awareness of urban panning issues and that citizen can now be involved in urban planning processes
- High level meetings and parliamentary debates in order ot endorse and move forward with the road-map

The exit strategy will commence right at the onset of project implementation by capitalizing and enhancing the mandated planning and budget system of the relevant cities. All input interventions will be embedded into policies, plans and budget programming of the local and national government to ensure project impact, ownership and sustainability.

7. Monitoring, Evaluation and Reporting

Monitoring/ Reporting/ Evaluation:

Reporting will be done as per the agreed Contribution Agreement by the KRG to the Participating UN Organization/s following the Government of Iraq's financial rules and regulations and the standard requirements of each participating UN Organization/s' internal rules and procedures.

The responsible UN-Habitat Country Offices will coordinate the project, with the support of the Regional Office. Reporting will be done to both the KRG Government and UN-Habitat. This includes the dissemination of assessment reports, financial reports, evaluation reports and progress reports based on the stipulated requirements of the KRG Government and the UN agencies.

Every six months, the Project Manager will update the project progress on the Expected Accomplishments, Outputs and Activities in the UN-Habitat Project Accrual and Accountability System (PAAS) s Adequate resources will be set aside for monitoring and reporting to the UN agencies and external stakeholders.

Monitoring will be facilitated by the UN agencies, but very closely with local and regional government, and with the continuous support required by the civil society of the selected area or related NGOs. When possible, monitoring responsibilities will be incorporated in agreement with partners. Reporting on activities conducted with stakeholders will be produced in collaboration and/ or reviewed by stakeholders whenever possible.

The project will develop a monitoring framework for the Kurdistan Region's context during the first six months of the project in order to monitor the activities and their impact throughout the period. The project evaluation will be initiated in the final six months of the project, noting that it will build upon the project's monitoring plan. It is expected that the final project evaluation report will be adopted not later than three months after the completion of project activities.

Audit:

The Audit of the JP will be done in accordance to the UN guidelines on projects and program audits, and it is included in the regular auditing activities of their Regional Offices. Audit clauses will be incorporated into Contribution Agreement signed with national and local counterparts.

8. Legal Context

To ensure smooth implementation and political support among key project partners, the project will execute several types of legal instruments and agreements. Depending in the context of the partnership, this could be:

- Contribution Agreement with Ministry of Planning in KRG in line with standard UN-Habitat template.
- Agreement of Cooperation with UNDP in line with standard UN-Habitat template.

9. Work Plans (3 pages)

Table 2

Work Plan for: (Strengthening Urban and Regional Planning in KRG)
Period covered by the Work Plan 1 January 2014 to 30 June 2015

Key Activities	Q1	Q2	Q3	Q4	Q5	Q6	Responsible Implementing Government Institution/ UN Agency	Additional Support Requirements**	Budget per output (USD)
Outcome 1: Improved substantive and administrative capacities of staff within KRG and Erbil Governorate urban planning units									
Output 1.1: Staff of urban planning directorates (KRG and Erbil) have improved capacity to fulfil urban and regional planning duties through structured learning	1.1.1. Substantive technical training						MoMT, Erbil Governorate, UN-Habitat		397,625
	1.1.2. IT skills training for tech staff						MoMT, Erbil Governorate, UN-Habitat	IT training institute, Erbil	
	1.1.3. Administrative training						MoMT, Erbil Governorate, UN-Habitat		
	1.1.4. IT skills training for tech staff						MoMT, Erbil Governorate, UN-Habitat	IT training institute, Erbil	
Output 1.2: Well managed and effective teams are in place at KRG and Erbil Governorate							MoMT, Erbil Governorate, UN-Habitat		208,425
1.2.2 Vision building							MoMT, Erbil Governorate, UN-Habitat		

	1.2.3. Leadership skills building								MoMT, Erbil Governorate, UN-Habitat		
Output 1.3. The regional planning unit has improved capacity to fulfil urban and regional planning duties through on the job learning.	1.3.1. On the job learning – district master plan								MoMT, UN-Habitat	59,675	
Output 1.4. The Erbil urban planning unit has improved capacity to fulfil urban and regional planning duties through on the job learning.	1.4.1. Periodic review of Erbil Master Plan								Erbil Governorate, UN-Habitat	179,025	
	1.4.2. Preparation of standard TOR for satellite town design								Erbil Governorate, UN-Habitat		
	1.4.3. Mixed use urban design								Erbil Governorate, UN-Habitat		
Outcome 2: Clear vision and political support for enhanced role of urban and regional planning in KRG											
Output 2.1 KRG has a clear vision for an improved system for planning	2.1.1. baseline study on urban and regional planning system and land management system								MoMT, Erbil Governorate, UN-Habitat	102,344	
	2.1.2. vision								MoMT, Erbil		

	statement on improved urban and regional planning and land management in KR						Governorate, UN-Habitat	
Output 2.2. Public Awareness and Political Support the Vision	2.2.1. Public information campaign						MoMT, Erbil Governorate, UN-Habitat	KRG broadcasting company
	2.2.2. High level debates within Ministers council						MoMT, Erbil Governorate, UN-Habitat	Ministers Council
Total UN Organization								\$126,950
Total Planned Budget								\$1,070,950

* The Total Planned Budget by UN Organization should include both programme cost and indirect support cost (if applicable).

** Outline any additional support required from the Government institution/s or Participating UN Organization/s to implement the corresponding activity

*** M is month and M1 refers to first month of the first year of JP/ Project implementation

10. Budget:

This budget table 3 below must be prepared for Kurdistan Vision 2020 Facility funds only (for each Participating UN Organization receiving funds from the Facility) and to be accompanied by a detailed budget for each line item, providing a description of the item and the calculation of cost (see Annex A).

Table 3

PROGRAMME BUDGET		ESTIMATED UTILIZATION OF RESOURCES (US\$)	
CATEGORY	AMOUNT (US\$)	Year 1	Year 2
1. Staff and other personnel costs	\$ 121,500	76,500	45,000
2. Supplies, commodities, Materials	\$ 27,056	20,056	7,000
3. Equipment, Vehicles and Furniture including Depreciation	\$ 3,600	2,400	1,200
4. Contractual Services	\$ 458,275	365,275	93,000
5. Travel	\$ 63,000	37,000	26,000
6. Transfers and Grants Counterparts	\$ 166,800	166,800	-
7. General operating and Other Direct Costs	\$ 42,012	33,402	8,610
Total Programme Costs	\$ 882,243	701,433	180,810
8. Indirect Support Costs** (not to exceed 7%)	\$ 61,757	49,100	12,657
TOTAL	\$ 944,000	750,533	193,467

* Based on the UNDG Harmonized Financial Reporting to Donors for Joint Programmes approved in 2012. Definition of the categories can be found in the instruction which is available on www.undg.org

** Indirect support cost should be in line with the rate or range specified in the Kurdistan Vision 2020 Joint Programming Facility TOR, MOU and SAA which is 7%

ANNEX A: Detailed Budget – UN (must be submitted by each Participating UN Organization)²

DETAILED UN PROGRAMME/ PROJECT BUDGET³

CATEGORY	ITEM DESCRIPTION	UNIT COST	NUMBER OF UNITS	AMOUNT	Year 1
1. Staff and other personnel costs	National Project Manager			72,000	36,000
	Project Administrator			27,000	18,000
	Driver	22,500	1	22,500	22,500
Sub-Total"1"					76,500
2. Supplies, commodities, Materials	Hardware/software	20,056	1	27,056	20,056
	Equipment, Vehicles and Furniture including Depreciation			3,600	2,400
Sub-Total"2"					2,400
3. Equipment, Vehicles and Furniture including Depreciation	Lead Consultant			224,000	192,000
	National Consultant			42,000	28,000
	Specialists			94,250	65,250
	Administration training			17,000	6,500
	Translation			49,500	42,000
	Media Campaign				
	Skills training: GIS, AutoCAD, Total Station			18,525	18,525
	Administrative computer skills			13,000	13,000
	Lead Consultant travel			14,000	2,000
	Specialists travel			49,000	35,000
Sub-Total"4"					365,275
5.Travel	Lead Consultant travel			14,000	2,000
	Specialists travel			49,000	35,000
Sub-Total"5"					37,000
6. Transfers and Grants	Training - Shaqlawa			135,000	135,000

² Detailed budget must be submitted in excel format as well.

³ Please provide the detailed budget breakdown only for the first programme/project year and not for the full programme duration

Counterparts						
	Team Building Erbil Governorate				5,950	5,950
	Team Building MoMT Transportation				23,450	23,450
					2,400	2,400
	Sub-Total⁶					155,800
	Sub - Total (1-6)					668,031
7. General operating and Other Direct Costs⁴					42,012	33,402
Total Programme Costs (1-7)						701,433
8. Indirect Support costs⁵						49,100
GRAND TOTAL ¹⁻⁸						750,533

* Based on the UNDG Harmonized Financial Reporting to Donors for Joint Programmes approved in 2012. Definition of the categories can be found in the instruction which is available on www.undg.org.

⁴ Other direct costs must not exceed 5% of Sub total (1-6)

DETAILED UNHABITAT PROGRAMME/ PROJECT BUDGET⁶

CATEGORY	ITEM DESCRIPTION	UNIT COST	NUMBER OF UNITS	AMOUNT	Year 1
1. Staff and other personnel costs					
	Head of Mission	\$16,000	2	\$32,000	\$16,000
	Human Settlements Officer	\$14,000	3	\$42,000	\$21,000
	National Project Manager	\$8,000	12	\$96,000	\$24,000
Sub-Total"1"					\$61,000
2. Supplies, commodities, Materials					
Sub-Total"2"					\$ 0
3. Equipment, Vehicles and Furniture including Depreciation					
	Vehicle, office equipment/furniture depreciation	\$775	18	\$13,950	\$ 9,300
Sub-Total"3"					\$ 9,300
4. Contractual Services					
Sub-Total"4"					\$ 0
5.Travel					
Sub-Total"5"					\$ 0
6.Transfers and Grants Counterparts					
	Programme Admin, logistics and procurement support	\$3,000	18	\$54,000	\$ 10,000
Sub-Total"6"					\$ 10,000
Sub - Total (1-6)					\$ 80,300
7. General operating and Other Direct Costs⁷					
Total Programme Costs (1-7)					\$ 4,015
8.Indirect Support costs⁸					\$ 0
GRAND TOTAL ****					\$ 84,315

⁶ Please provide the detailed budget breakdown only for the first programme/project year and not for the full programme duration

⁷ Other direct costs must not exceed 5% of Sub total (1-6)