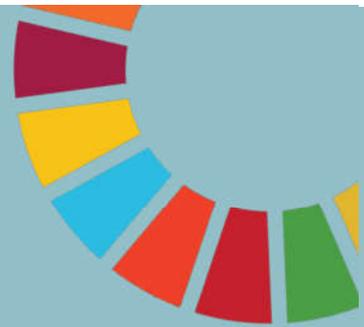


# SDG PROJECT ASSESSMENT TOOL



## Durban

Enhanced Institutional Governance for Transit-Oriented Development (TOD)

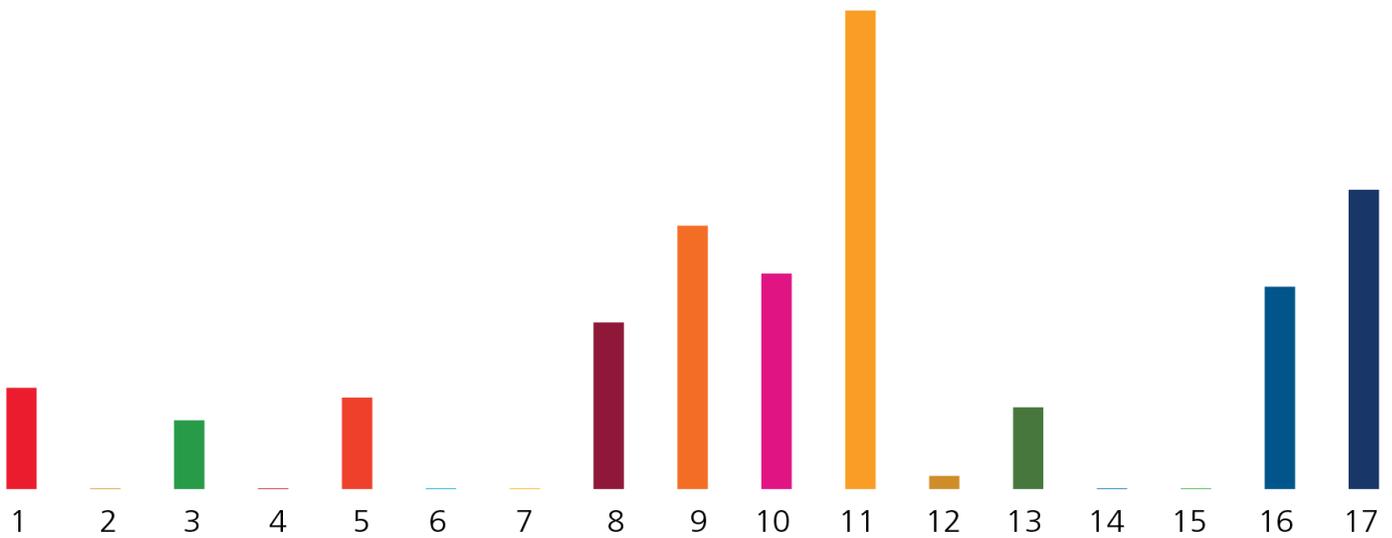
*This tailor-made sheet aims to demonstrate how the SDG Project Assessment Tool's General Framework has been tailored to the project in Durban, South Africa. It highlights how the project includes the priorities within the Sustainable Development Goals, and the different principles that were selected for this project. As this sheet has been tailored to the project's scope and needs, the performance criteria has been selected in consultation with the partners of the Programme.*

## Sustainable Development Goals

### A) This is the SDG alignment summary

This shows how the project includes the priorities stated within the SDGs.

### Sustainable Development Goals

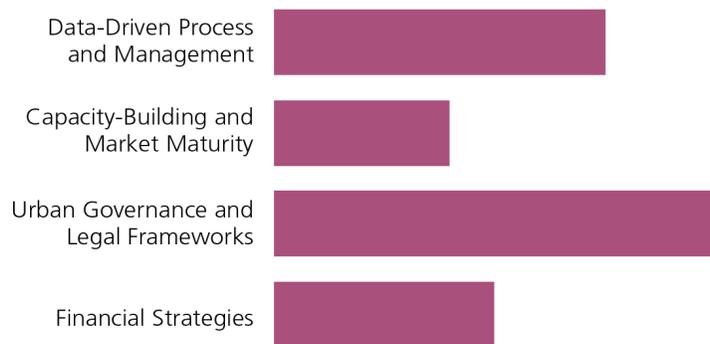


## Fields of Assessment

### B) These are the fields of assessment

This is a summary of the assessment in relation to 8 key drivers, split into Technical & Effectiveness aspects of the project. While the technical aspects show the technical design of the projects, effectiveness aspects focus on the long-term sustainability and impact





## Selected Performance Criteria

This is a list of all selected performance criteria. Note that caveats/comments/amendments have been included in the internal version of this document to some performance criteria in accordance with the nature of the project and the participatory discussions with the city authorities and delivery partners.

Ref	Sustainability Principle	Ref	Performance Criteria
<i>Key Driver: Social Inclusion</i>			
1	Diversity of housing types based on income, tenure, and size ensures housing stock that meets local demand	1.1	The project assesses current and future demographics and trends, and tries to meet the identified housing needs of the population.
		1.3	The project explores the best options to finance and develop housing, and considers both public and private sector involvement.
6	The inclusive design of urban services ensures accessibility for vulnerable groups	6.1	The project is based on a background assessment that identifies the needs of vulnerable and disadvantaged groups, including women, children, the elderly, people with disabilities, indigenous people and migrants.
		6.2	The project contains a holistic strategy for social inclusion of vulnerable groups.
		6.4	The project is gender-sensitive by ensuring women's access, preferences, special needs, safety and security.
		6.5	The project is sensitive to the needs and circumstances of diverse cultural groups including migrants and indigenous peoples.
		6.6	The project is sensitive to the needs and circumstances of diverse age groups, including the elderly, youth, and children.
7	Holistic design strategies improve safety and security of the urban environment	7.5	The project promotes inclusive access to social facilities and public space, and includes strategies to ensure active use at different times of the day and the year. It considers activities and access regarding operating hours, cost, spatial barriers and users, especially vulnerable groups, women, children and youth.
		7.6	The project includes maintenance strategies for urban services and public space. These include community management of public space, and community-based safety measures.
<i>Key Driver: Spatial Planning</i>			
8	Supply and distribution of urban services and mobility ensures equitable distribution of benefits and easy access for all	8.1	The project is based on a background assessment of the distribution, design, quality and accessibility of urban services (e.g. basic services, mobility systems, social facilities and public space).
		8.2	The project contains a spatial assessment, mapping current and future flows and modes of transport, with particular attention to areas of lower socioeconomic status or near public services.
		8.3	The project proposes strategies for the provision of urban services.
		8.4	Urban services provided by the project are located to serve all residents, including vulnerable and/or marginalised groups.
		8.6	The project plans for upgrading, maintenance and management of existing urban services, rather than duplicating such services.
9	Affordable and reliable public transport reduces cost burdens for all	9.1	The project includes a background assessment of the existing (public) transport system and its conditions, including how it serves vulnerable or marginalised groups.
11	Urban regeneration before developing new areas promotes compact city form and helps prevent destruction of natural features and habitats	11.1	The project includes an assessment of potential assets (i.e. existing vacant land, buildings and infrastructure such as degraded railway lines) that can be regenerated, preventing unnecessary expansion of the city. The assessment considers environmental and spatial factors including proximity to residential and commercial areas, and transport.
		11.2	The project utilizes brownfield sites through planned city infills, promoting a compact city form and preventing informal development and sprawl.
		11.3	The project promotes the retrofitting of existing areas inside the urban footprint, including buildings, infrastructure, and brownfield sites.
		11.4	The project considers upgrading slums and informal settlements, including improving living conditions and increasing security of tenure, as a means for urban regeneration.

12	Integrated urban planning and design at different scales (neighbourhood, city, region) and across different sectors (transportation, infrastructure, land use, etc.) ensures consistency and positive catalytic effects	12.1 The project is based on a spatial assessment of the existing urban conditions, dynamics and opportunities across different urban scales (neighbourhood, city-municipal, city-region, metropolitan, and national scale) and sectors (e.g. transportation, infrastructure, land use).
		12.2 The project uses data gathering and/or assessments in the design of all aspects of the intervention.
		12.3 The project considers how it relates to other interventions including plans, projects, and strategies, in order to build on synergies and avoid overlap.
		12.4 The project promotes integrated urban planning by ensuring consistency and a uniform approach to design across different scales (neighbourhood, city, metropolitan, regional and national).
		12.6 (If relevant) The project considers opportunities for future replicability and/or scalability.
13	Appropriate urban density, urban regeneration and planned city extensions ensure compact and sustainable city form	13.1 Appropriate urban density, urban regeneration and planned city extensions ensure compact and sustainable city form
		13.2 The project creates incentives for higher density development with appropriate measures to increase infrastructure capacity and mix of uses. Where appropriate, the project follows UN-Habitat's recommended density of at least 150 people/hectare.
		13.3 The project prioritises urban infill, brownfield redevelopment, or vacant urban land instead of new development in greenfield areas.
		13.4 The project locates higher density development in proximity to existing and planned infrastructure (e.g. for basic services and mobility systems).
		13.5 The project includes strategies for a multi-centric urban structure that promotes economies of agglomeration.
		13.6 The project proposes planned urban extensions based on growth projections. These extensions are compact, contain mixed economic uses, and have block and plot sizes that are suitable for their intended use.
		13.7 The project promotes compact (re)development based on a human scale, featuring walkable distances and encouraging social interaction and the use of public space.
14	Mixed-use development creates more vibrant cities with improved distribution of opportunity	14.1 The project is based on a background assessment and understanding of the existing urban form, population growth, population and job density, and accessibility and transportation trends, considering past, present and future trends.
		14.2 The project promotes mixed-use development, locating residential, social and commercial uses close to each other.
		14.3 The project avoids single-use neighbourhoods and zoning through mixed use regulations, with a maximum of 10% single-function blocks per neighbourhood.
		14.4 The project ensures appropriate mitigating measures and buffers between incompatible land uses, such as polluting industries and housing.
		14.5 The project encourages land and planning patterns that can adapt to changing market demands over time.
		14.6 The project encourages diverse temporary or transitional land uses to ensure active use at different times of the day and year.
15	Transit-oriented development increases access to residential and commercial land uses while reducing the need for private motorized travel	15.1 The project is based on a background assessment of mass transit and mobility services, including the location of residential, social and commercial land uses.
		15.2 The project considers how integrated land use planning and transport planning will reduce the use of private vehicles.
		15.3 The project improves accessibility for all, including for vulnerable and marginalised groups, and access to and from public services.
		15.5 The project promotes new development, higher density, and more mixed-uses, around high capacity mass transit.
19	Adequate provision of non-motorised transport (cycling, walking, etc.) promotes sustainable travel and improves the urban environment	19.1 The project includes a background assessment of the non-motorised transport infrastructure, focusing on quality, safety and network gaps, as well as current and future travel demand.
		19.2 The project contributes to safe and unobstructed pedestrian and cycle networks separated from motorised traffic. Non-motorised transport routes form a network, connect to the public transport system and, where possible, enhance public space.
		19.3 The project seeks to guarantee the safety of all non-motorised transport users through physical design (e.g. separated cycle and footpaths, traffic calming, safe crossings, cycle parking, lighting) and regulatory mechanisms (e.g. speed limits, access restrictions for motorised transport, promotion of an active street life). It focuses on those most vulnerable to accidents, theft, harassment and other risks (e.g. children).
		19.4 The project increases the attractiveness of non-motorised transport by enhancing accessibility (percentage of population with direct access to safe infrastructure) and quality (measuring travel time, universal access, safety, security, comfort and user information) of non-motorised transport infrastructure.
		19.5 The project reduces trip lengths and increases connectivity through land use densification, the promotion of mixed-use areas and compact developments.
		19.6 The project aims for streetscapes that are designed to be welcoming, safe and offer ease of use for multiple modes, especially for non-motorised options (pavements and cycle paths).

24	Identification and assessment of vulnerable areas in planning helps reduce exposure and prevents damage from climate disasters	24.1	The project is based on an understanding of previous climate related disasters and their risks for damage.
<i>Key Driver: Economic Development</i>			
31	Capitalizing agglomeration benefits and economies of scale increases efficiency and attract new businesses	31.3	The project is based on a background assessment of existing and potential economic clusters and economic activities in the city.
		31.3	The project details how it can contribute to support existing and potential economic clusters and activities .
		31.4	The project identifies needs for provision or upgrading of soft and hard infrastructure to support economic activities.
32	Prioritizing access and spatially equitable distribution of jobs and businesses attracts diverse human capital	32.1	The project includes an assessment on the labour market, including distribution of formal and informal jobs, and their relationship to transport and residential areas.
		32.2	The project contributes to increased accessibility to jobs, commercial uses, and public services.
		32.3	The project provides urban services to the informal sector, including transport, water, energy, waste management, etc.
33	Protection and integration of the informal sector makes the economy resilient and supports livelihood and job creation	33.1	A background assessment is provided on the existing informal economy as well as a gap assessment of existing skills.
		33.2	The project protects existing informal jobs, proposing strategies to enter the formal economy and connecting to existing economic clusters and skills.
<i>Key Driver: Data-Driven Process and Management</i>			
34	Incentives to promote behavioural shifts increase the use and provision of alternative, sustainable modes of transport	34.1	The project is based on a comprehensive background assessment considering the reasons for transport choices and behaviour.
		34.2	The project uses an assessment of existing transport services (including performance, availability, reliability, affordability, and quality) to understand user behaviour.
		34.5	The projects increases the attractiveness of sustainable modes of transport through improved quality, comfort, accessibility, efficiency.
		34.8	The project provides access to information about travel options to all, including marginalised and vulnerable groups.
37	Efficient use of data supports evidence-based and justifiable decision-making processes	37.1	The project contains a background assessment on data flows between stakeholders, identifying gaps and barriers.
		37.3	The project builds and formalizes practices for integrating data analysis into decision-making processes, taking into account relevant data sets.
38	Monitoring and evaluation ensures long-term impact	38.1	The project includes a background assessment on data availability and requirements to conduct impact assessments, as well as monitoring and evaluation beyond the programme period.
		38.4	A comprehensive monitoring and evaluation strategy has been defined that responds to the impact assessment and defines contingency measures beyond the programme period.
39	Inclusive, transparent, continuous and meaningful participation ensures that the needs and aspirations of the community are addressed through the project.	39.1	The background assessment identifies public, private, academia and civil society stakeholders at city, regional and national level that are relevant to the project. The project assesses how affected groups can be included and how to ensure a gender sensitive approach.
		39.2	The project builds on existing mechanisms to ensure community participation in urban planning and management processes. If these mechanisms do not exist, capacity development and recommendations are provided.
		39.3	The participatory process includes all relevant stakeholders and ensures that the views of marginalised and vulnerable groups are represented. The participatory process ensures a gender sensitive approach. If indigenous people are affected by the project, prior informed consent is ensured.
		39.4	The participatory process is ongoing throughout the project lifecycle, starting from the formulation stage onwards.
		39.5	Stakeholders have opportunities to influence the project through a meaningful participation process. The project targets the needs of the population.
		39.6	The project clearly communicates how participatory processes will be conducted. Relevant information is provided regularly to stakeholders and affected communities on the project development and outcomes of participatory engagements. Information is made available, shared in a reasonable timeframe and channels have been provided for stakeholders to submit their concerns or request information.
		39.7	The project uses data systems and civic technologies for public engagement.
<i>Key Driver: Capacity-Building and Market Maturity</i>			
40	Strong technical and professional capacity from all relevant stakeholders secures long-term implementation	40.2	The background assessment identifies capacity gaps in all relevant partners and stakeholders. This can include stakeholders within government at technical or leadership level, and third parties such as the private sector, civil society and academia.
		40.3	The project assesses what technological and capacity gaps can be realistically addressed through capacity development activities.
		40.4	The project proposes strategic capacity development activities that will support implementation and sustainability.
		40.5	The project develops institutional memory through support to mechanisms that document project implementation and capacity development.

42	Building local partnerships and drawing on local resources and capacities facilitates sustainable project implementation	42.1	The project explores the opportunity to involve local partners in the execution and maintenance of the project.
		42.2	The project considers the involvement of local partners taking into account their level of professional capacity.
		42.3	The project considers sustainable practices for the building and execution of the project such as promoting locally sourced materials and resources and minimizing the carbon footprint through sustainable sourcing of materials and transportation.
		42.4	The project only proposes international partners for its execution and maintenance where local capacity and market maturity does not meet minimum standards.

*Key Driver: Urban Governance and Legal Frameworks*

43	Urban planning and regulatory frameworks enable the project's implementation and sustainability in the long term	43.1	The project is based on and takes into account the existing legal frameworks for urban planning.
		43.2	The project aligns with existing land uses. Changes in land use are enabled by mechanisms in legal frameworks. If these mechanisms do not exist, recommendations are provided.
		43.3	The project aligns with existing laws and regulations that ensure safe, inclusive and accessible public space for all, including open and green public spaces, streets and public facilities. If these mechanisms do not exist, recommendations are provided throughout the project.
		43.4	The project assesses existing law and regulatory frameworks of developer contributions for the provision of urban services, infrastructure systems and affordable housing. If these mechanisms do not exist, recommendations are provided.
		43.5	The project makes use of zoning codes and existing incentives to encourage risk mitigation, resource efficiency and sustainable uses.
44	Alignment and coherence with existing laws and policies at local, regional and national level enhances the viability and impact of projects	44.1	The project aligns with existing policies (at local, regional and national level).
		44.2	The project's development and implementation is enabled through the existing legal framework (at local, regional and national level) in housing, planning, transport, procurement, etc.
		44.3	The project aligns to the city's strategic goals including spatial, economic and environmental strategies as well as existing projects implemented or in the pipeline.
45	Action plans for long-term sustainability increase the impact of projects	45.1	The project includes risk assessment and built-in mitigation measures in the event of changes in leadership and lack of commitment to carry out the projects beyond the Programme. This includes but not limited to strengthening institutional ownership both at high political and technical level.
		45.2	The project establishes a strategy to continue and maintain the projects after the Programme. This includes but is not limited to establishing clear steps for implementation and defining a process to formalize the project as a legal instrument.
		45.3	The project includes a communication and capacity development strategy to inform stakeholders about legal obligations, rights and appeal mechanisms.
46	Defined roles and responsibilities at all levels of government provides clarity in case of overlapping mandates	46.1	The project develops an assessment of the institutional setting and uses this to assign roles, responsibilities and authority to ensure success.
		46.2	Roles and responsibilities are assigned based on institutional capacities and abilities.
		46.3	Project stakeholders are given the necessary authority and capacity to carry out their responsibilities.
		46.4	Cross-sector and -government coordination mechanisms help to establish project legitimacy and buy-in, and multi-level coordination mechanisms are in place to ensure effective design and implementation.
		46.5	The project proposes third-party partnerships where appropriate to achieve better project outcomes (ie private sector, civil society, and academic).
		46.6	Proposed partnerships follow principles of good governance by being transparent, fair and promoting public benefits.
47	Prevention measures against gentrification and land price speculation secure land rights and adequate housing for all	47.1	Land use and financing instruments are used to ensure that increases in land and property value created by the project are shared with government.
		47.2	The project ensures that land, housing, and property rights are upheld, particularly for vulnerable and marginalised groups. This includes measures to combat and prevent displacement, homelessness, and unnecessary forced evictions.
		47.3	The project includes a communication and capacity development strategy to inform stakeholders about legal obligations, rights and appeal mechanisms.

*Key Driver: Financial Strategies*

52	Realistic long-term financial strategy is essential for project implementation	52.1	The project is based on a background assessment of the financial requirements needed for the execution, maintenance, and operation of the project. It also includes an assessment of existing financial capacity, financing mechanisms, and legal regulations.
		52.2	A financial strategy is developed that is aligned with existing financial capacity. Market conditions (including supply, demand, public budgeting, etc.) as well as political, social and environmental risks are assessed in this strategy.
		52.3	Capital investment is funded through a combination of sources that includes public funds, private sector contributions, and donor grants among others.
		52.4	Long-term debt, operations, maintenance and depreciation costs have a dedicated funding stream to draw from.

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52.5 Mitigation measures are put in place to prevent common risks to the application of the financial strategy. This should take into consideration rules on cost-effective public procurement, corruption, cost coverages, lower than expected revenue streams and

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53 Mechanisms for own-source revenue through the project strengthen the government's financial standing

53.1 The project is backed by a background assessment of existing and new potential revenue streams for project finance. This includes an assessment of existing revenue sources and their value, legal regulation, and the government's capacity to enforce the rule of law. It also identifies potential areas where revenues and the existing tax base can be expanded or improved.

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53.2 The proposed financial strategy proposes a mix of revenue sources that can increase budget stability. This can include income tax, property tax, user charges and fees, land-based finance tools and consumption taxes.

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53.3 The project includes measures to improving and/or facilitating access to financial markets such as municipal bonds.

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53.4 Land-based finance techniques are enhanced as a way to capture additional financial benefits of urbanization; such as public land procurement, exactions, transfer or sale of development rights and land readjustments.

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53.5 Activities for strengthening the capacity for municipal revenue generation are identified and carried out.

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