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**Cities and development in the Hispanic Caribbean:
A comparative case study of external influences on urban planning policies
in Santo Domingo, Havana, and San Juan.**

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B. Arch.

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Being a dissertation submitted to the faculty of The Built Environment as part of the requirements for the award of *MSc. Urban Design and City Planning* at University College London:

I declare that this dissertation is entirely my own work and that ideas, data, and images, as well as direct quotations, drawn from elsewhere are identified and referenced.

Signature: 

Date: 24/01/2022

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ABSTRACT

Cities are recognized to be the result of continuous exchanges. The circulation of urban planning ideas and practices is a well-known aspect of these interactions. However, during the last decades these processes have intensified, increasing the uncritical implementation of tools based on a false premise of taken-for-granted 'best practices'. This situation is even more relevant in developing regions such as the Hispanic Caribbean, with a long and shared history regarding Spanish colonialism, the influence of external powers, and the transfer of foreign urban ideas. Due to this region's increasing vulnerability and countless urban challenges, it is paramount that local city planning policies and frameworks are catered to the specific needs of the region. As a result, the research aim is to assess the extent to which contemporary urban planning policies in the three main cities of the Hispanic Caribbean: Santo Domingo, Havana, and San Juan are being shaped by external influences.

Using a case-based cross-national comparative approach, the research methodology is threefold: the *context*; studying under which circumstances ideas have been transferred historically through a review of the cities' planning and development histories, the *object*; identifying what is being transferred through a policy content analysis of contemporary national and city level planning policies, and the *actors*; exploring by whom and through which mechanisms ideas are being circulated. This information was then analysed and compared applying the policy transfer framework developed by Dolowitz & Marsh (2000). The research revealed that there's still both voluntary and coercive transfer of urban policy ideas happening in the region. Influences from the United States, Europe and Latin America are still strong with an increasing role by international development aid agencies and supranational organizations. The continued study of these complex processes was recommended to recognize power asymmetries and ensure sustainable urban growth and development.

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ACRONYMS

HC	Hispanic Caribbean
DR	Dominican Republic
PR	Puerto Rico
SD	Santo Domingo
SJ	San Juan
LAC	Latin America and the Caribbean
LR	Literature Review
US	United States
USSR	Union of Soviet Socialist Republics
COMECON	Council for Mutual Economic Assistance
USAID	United States Agency for International Development
ICMA	International City/Council Management Association
UN	United Nations
SDG	Sustainable Development Goals
UNDP	United Nations Development Programme
ECLAC	Economic Commission for Latin America and the Caribbean
IDDI	Instituto Dominicano de Desarrollo Integral (Dominican Institute of Integral Development)
IADB	Inter-American Development Bank
INTEC	Instituto Tecnológico de Santo Domingo (Technological Institute of Santo Domingo)
MIMARENA	Ministerio de Medio Ambiente y Recursos Naturales (Ministry of the Environment and Natural Resources)
MEPYD	Ministerio de Economía, Planificación y Desarrollo (Ministry of Economy, Planning and Development)
ADN	Ayuntamiento del Distrito Nacional (Distrito Nacional Town Hall)
IPF	Instituto de Planificación Física (Institute of Physical Planning)
DGODT	Dirección General de Ordenamiento y Desarrollo Territorial (General Council of Spatial Planning and Development)
CNCCMDL	Consejo Nacional para el Cambio Climático y Mecanismo de Desarrollo Limpio (National Climate Change and Clean Development Mechanisms Council)
TNC	The Nature Conservancy
MEP	Ministerio de Economía y Planificación (Ministry of Economy and Planning)
SICA	Sistema de Integración Centroamericana (Central American Integration System)
JP	Junta de Planificación (Puerto Rico's Planning Board)
NUA	New Urban Agenda
PAN	Plan de Acción Nacional para la implementación de la Nueva Agenda Urbana en Cuba (National Action Plan for the implementation of the New Urban Agenda in Cuba)

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Chapter 1. Introduction

1.1. Background

Cities are widely recognized to be the result of continuous exchanges, not only of tangible goods, but also the movement of people, knowledges, and experiences (Novick, 2009). Healey (2013) argues that ideas about how to shape, develop and manage places seem to be more accessible than ever. And although it is acknowledged that the transnational circulation, dissemination and transfer of urban planning ideas, models, policies, and techniques is not new (Healey, 2013; Delgadillo, 2014; Díaz-Márquez, 2019), Harris and Moore (2013) also recognized that these processes have intensified in the last decades. As a result, this can cause an increase in the uncritical implementation of tools considered ‘avant-garde’ based on a false premise of modernization (Díaz-Marquez, 2019).

There are two main theoretical perspectives in the debate regarding the circulation and transfer of urban planning ideas: the first one can be said to derive from a dependency discourse, and emphasizes how colonialism (King, 1977; Rodríguez, 2005), developmentalism and modernization (Almandoz, 1999) and post-colonial power structures (Watson, 2009) have shaped a long process of exporting planning ideas from the global North to South (Harris & Moore, 2013). This perspective has been challenged for over-simplifying what is considered to be, at present, a much more complex and multidirectional process (Jajamovich, 2013), which leads us to the second perspective, stemming from a relational discourse. It highlights how these interactions are never linear or simple (Jajamovich & Delgadillo, 2020), the complex patterns of ‘negotiation’ and ‘collusion’ involved (Harris & Moore, 2013, p.1502) and their social and cultural component (Almandoz, 2002).

However, even recognizing the relational nature of these processes, their intrinsic power relationships and asymmetries can’t be ignored (Novick, 2009; Jajamovich, 2017). Highly embedded in these debates, has been the case of LAC. This region has played a unique and vital role in the evolution of the modern world (Knight, 2012), since this area, specifically the Caribbean islands, were the first territories colonized upon arrival to the ‘New World’ (Potter et al. 2004). It saw colonization efforts and hegemony struggles by the Spanish, Dutch, French, English, and Danes (Portes *et al.*, 1997; Jaffe, 2008), making it an ideal example of a region with a long and shared history regarding the influence of external powers and the transfer of foreign urban ideas (Díaz-Márquez, 2019). As a result, this study will be focused on understanding the extent to which external influences are still shaping urban planning policies in three specific post-colonial cities of the Caribbean, the actors and mechanisms involved and the possible impacts on future growth and development.

1.2. Area of Study and Research Focus

There are tensions regarding the circulation and transfer of urban ideas in post-colonial societies. On one side, unequal as they are, it is widely accepted that these processes are not exclusively happening in a North-South direction (Jajamovich & Delgadillo, 2020) and that the diffusion of urban experiences is a basic condition to urban innovation and mutual learning (Delgadillo, 2014). On the other side, it is acknowledged throughout the literature that planning theory and practice in the Caribbean has either been inherited from its colonial past or adopted from European or North American experiences (Watson, 2008; Hardoy, 1987; Verrest *et al.*, 2017; Díaz-Márquez, 2019).

The issue with this is that these inherited urban planning systems and structures have mostly remained fixed even when ‘the context in which they operate has changed significantly’ (Watson, 2008, p. 2260). This becomes evident especially in the Caribbean region, which is currently ‘one of the most urbanized developing regions on the planet’ (IADB, 2019), despite its initially rural reality. It is facing, as Mycoo (2017) eloquently highlights, countless urban challenges, and still, it is recognized as one of the most under-researched regions in the world (King, 2015a; Dehoorne *et al.*, 2018).

Certainly, all of this makes the Caribbean a place with a unique set of challenges in which national policies and legal frameworks related to city planning have to be catered to the specific needs of the region. As a result, the study area for this research will be the Hispanic Caribbean (Fig. 2), which for the purpose of this study constitutes the Dominican Republic, Cuba, and Puerto Rico. The focus will be specifically on these countries’ main cities: Santo Domingo, Havana, and San Juan respectively. In this regard, Ferrer (2016, p.52) asserts how the Hispanic Caribbean has been historically ‘relegated to a peripheral place in Caribbean studies.’ And while Pérez-Rosario (2016, p.21) identifies the Hispanophone Caribbean as ‘central to any serious study of the region’, she joins Ferrer’s argument by adding that:

‘It [the Hispanophone Caribbean] exists at the juncture of two competing cultural contexts, the non-hispanophone Caribbean on the one side and Latin America on the other, which exposes it to side-lining and misunderstanding from both’.

The reasons for this are varied but these authors emphasize two: language barriers and the existing differences between their political systems and cultures, both of which perpetuate the focus on national perspectives within Caribbean research. However, in terms of exploring the transfer, diffusion, and circulation of urban ideas in the region, these differences are invaluable.

The Caribbean Region

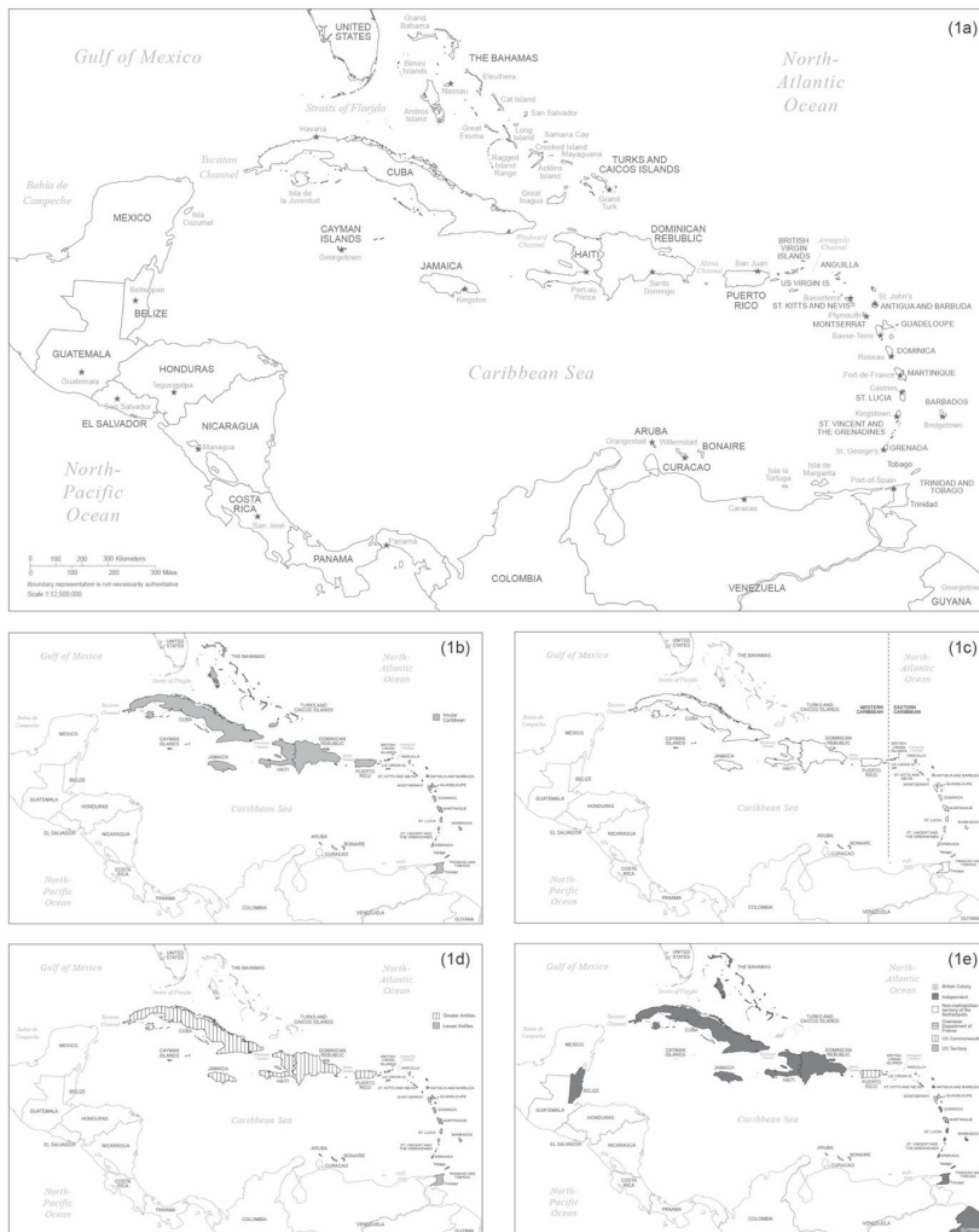


Figure 1. The Caribbean. Synthesis of spatial definitions of the region according to different criteria by various authors. (1a) Caribbean Basin. (1b) Insular Caribbean (1c) Eastern and Western Caribbean (1d) Greater and Lesser Antilles. (1e) Classification according to political status. In terms of its language / past colonial influences: Anglophone, Hispanic, French and Dutch Caribbean. *References:* Rojas (1989), Cross (1979), Potter *et al.* (2004). *Source:* Own authorship. Original: US Library of Congress.

As a result, the rationale for conducting a comparative study between these specific countries is mainly rooted in the pronounced distinctions between their political contexts (Table 1). Local researchers have even raised current situations regarding ‘a la carte planning’, and how cities with different political systems have been implementing similar urban policies and other ‘recipes’ to address urban issues in the LAC region (Delgado, 2014).



Figure 2. The Hispanic Caribbean. Ferrer (2016) discusses both a broader definition of it (which includes places such as Jamaica or Florida) and the traditional one ‘limited to the three Spanish territories of the Greater Antilles’ (p.57), as represented in the map: Cuba, Dominican Republic, and Puerto Rico. She defines it as ‘Caribbean societies that were once – but are certainly not now- territories of Spain’ (p.54). *Source:* Own authorship. Original: US Library of Congress.

Comparative research between these nations becomes even more important when researchers confirm how this area has been the subject of a historical unbalance in terms of scholarship and literature, which is either concentrated in the anglophone and francophone Caribbean or generalizes Caribbean studies while referring to a specific portion of the region (Ferrer, 2016). Finally, Healey (2013, p.1520) emphasizes the value of studying transnational planning flows, since this allows challenging ‘taken-for-granted universals wrapped into policy ideas being promoted transnationally’.

Critical to the rationale of this research is an enhanced understanding of the current state of the processes of circulation, diffusion, or transfer of urban ideas regarding national and city level planning policy in the three main cities of the HC: Santo Domingo, Havana, and San Juan. Understanding how much of the region’s historical legacy of external domination and influence

is still embedded in these cities' contemporary planning systems and how this could impact future growth and development is a key aspect of the study.

	<i>Capital city</i>	<i>Political Status</i>	<i>Description</i>
[1] Dominican Republic	Santo Domingo	Independent (1844)	Republic Democracy Representative democracy Unitary State
[2] Cuba	Havana	Independent (1902)	Socialist State Authoritarianism / One-party State Unitary State
[3] Puerto Rico	San Juan	US Commonwealth	Democracy Representative Democracy Unincorporated territory of the United States

Table 1. Political status of the Hispanic Caribbean's countries chosen for the study. *Source:* Own authorship based on Richardson (1992), Scarpaci *et al.* (2002), and Issacharoff *et al.* (2019). WC: 42 words.

1.3. Research Aim, Question, and Objectives

The aim is to assess and compare the extent to which contemporary urban planning policies in the three main cities of the Hispanic Caribbean are shaped by external influences, given their shared history of Spanish colonialism and foreign interference. The goal is not to reject the inevitable processes regarding the circulation and dissemination of urban ideas, but as Jajamovich (2013, p.108) states 'it's about opening up possibilities of investigating their complexity and multidirectional nature'. So, in simple terms, the main research question being addressed is:

To what extent are contemporary urban planning policies being shaped by external influences in the three main cities of the Hispanic Caribbean: Santo Domingo, Havana, and San Juan?

The following set of objectives have been devised to conduct this research:

1. *Review* the urban planning and development history of the three main cities of the Hispanic Caribbean: Santo Domingo, Havana, and San Juan.
2. *Summarise* the main external influences identified throughout the 20th century in relation to relevant literature regarding policy transfer, diffusion, and circulation.

3. *Identify* the actors involved in each city's current planning systems and *explore* and local mechanisms for the diffusion of urban ideas and practices.
4. *Analyse* contemporary urban planning policy documents at both national and city scale of the three cities, identifying similarities and contrasts in terms of the urban ideas and models being implemented according to a consistent theoretical framework.
5. *Synthesize* the findings and draw conclusions about the extent to which external influences are still shaping urban planning policies in the three main cities of the HC and its possible impacts on future growth and development.

1.4. Research Structure

Chapter 1 provides background information on the tensions of the transnational circulation, diffusion, and transfer of urban planning ideas in post-colonial societies, specifically the HC. In addition, the research focus, overall aim, and individual objectives of the study are discussed. Chapter 2 presents a review of relevant literature combining historical aspects of the three cities being studied with contemporary debates regarding policy transfer, diffusion, and circulation. Chapter 3 discusses the methodology, research strategy, data collection methods and the analytical framework along with ethical considerations and the limitations of the study. Chapter 4 provides an exploration of additional elements playing a role in the movement of urban ideas and practices along with the case study information by describing the findings, analysing them comparatively and synthesizing them against the literature review. Finally, Chapter 5 concludes by revisiting the research aim and objectives in relation to a synthesis of the main findings along with possible implications for future research.

Chapter 2. Literature Review

2.1. Introduction

This chapter has two components, based on objectives 1 and 2. First, a review of the urban planning and development histories of SD, Havana, and SJ. This has been identified as a key step in this type of study by Harris and Moore (2013), who highlight history's role in emphasizing past and existing power relations and acknowledging complex patterns of policy mobilities through time. Second, a summary of the main external influences identified throughout the 20th century categorized in relation to contemporary debates around policy transfer, diffusion, and circulation. This will be vital to address questions such as what has been circulated or transferred in the HC, under which circumstances, and by whom.

This key information will be then used as a point of reference to assess how these dynamics have changed over time and the extent to which contemporary planning policies are being shaped by external influences in the three main cities of the HC.

2.2. Contemporary debates regarding policy transfer, diffusion, and circulation

The spread of ideas and practices regarding policy has been traced as far back as ancient Greece (Porto de Oliveira, 2021). Several authors have described it as a widespread process, one that has recently attracted considerable academic interest (Braun & Gilardi, 2006; Hoyt, 2006; Porto de Oliveira *et al.*, 2017; Peck, 2011). A brief discussion on contemporary debates regarding this field, its research streams, theoretical frameworks, and relevance for this study will be the focus of this section.

These dynamics have been studied from the perspective of different fields. For instance, anthropology (Malinowski, 1944), political science (Bennet, 1991), comparative politics (Dolowitz and Marsh, 1996), international relations (Simmons et al., 2006), geography (Temenos & McCann, 2013), and urban studies (McFarlane, 2010) resulting in a consolidated field known as 'policy transfer research' (Porto de Oliveira, *op. cit.* p.1).

Although this has given rise to a wide array of 'terms and interpretations' (Ultramari et al., 2019, p.3) (**Appendix A**), there seems to be a consensus within the literature (Marsh & Sharman, 2009; Hassenteufel & Zeigermann, 2021; Constantine & Shankland, 2017; Hoyt, 2006; Hosannah, 2020; Stone, 2012; Maggetti & Gilardi, 2015) on the definition given by Dolowitz and Marsh (1996, p.344) of policy transfer as:

'... a process in which knowledge about policies, administrative arrangements, institutions and ideas in one political setting (past or present) is used in the development of policies, administrative arrangements, institutions and ideas in another political setting.'

They affirm that 'differences in nomenclature' are not as consequential since the definition is ultimately the same (Dolowitz and Marsh, *op.cit.*). Nevertheless, within current debates is the fact that using terms interchangeably can lead to conceptual and methodological weaknesses. This is evidenced in one of the more recent studies on the subject, in which Porto de Oliveira (2021, p.3) addressed the current situation as a 'terminological morass' and provides a summary of the 'four main traditions in the debate today: **policy transfer**, **policy diffusion**, **policy circulation**, and **policy mobilities**'. Although he recognizes that there are overlaps between the different research streams, Figure 3 illustrates their intrinsic conceptual variations.

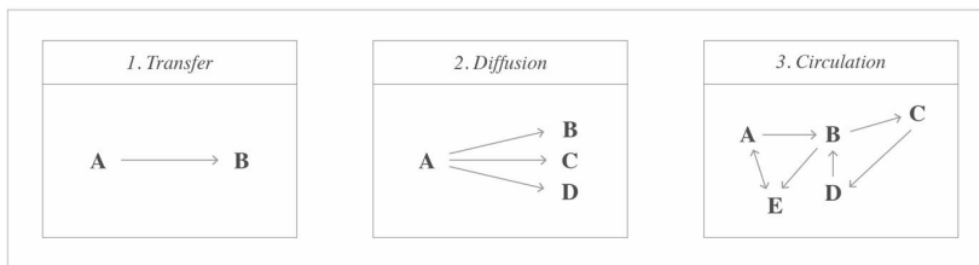


Figure 3. Representation of policy transfer, diffusion, and circulation dynamics. *Source:* Porto de Oliveira (2021, p.6-7).

The author defines these as follows: '(1) policy transfer, a swift movement of adoption, (2) diffusion, as an ensemble of adoption, (3) circulation, a fluid movement with multiple pauses and round-way trips.' Policy mobilities on the other hand, draws on urban geography and urban studies and criticizes transfer and diffusion arguing that these terms 'obscure the resistance of policies to moving unchanged between fixed locations' (Kennedy, 2016, p.96).

The main debates identified pertinent to this study revolve around 4 topics. First, the degree of policy transfer. Rose (1991, p. 22) identified 5 ways in which lessons could be drawn, namely through *copy*, *emulation*, *hybridization*, *synthesis*, or *inspiration*. Second, whether the transfer is voluntary or coercive (Stone, 2012). Third, the direction in which ideas and policies travel. On one side, there has been a long-standing assumption of a mostly unidirectional flow of urban ideas and practices from 'developed' to 'developing' countries (Ward, 2000). On the other side, this has been challenged by several authors (Delgadillo, 2014; Jajamovich & Delgadillo, 2020) rejecting the idea of 'developing countries' as 'passive actors' in these processes. And fourth, the causation of the transfer. Usually, the assumption is that cities are

facing similar problems, so policy solutions might be the same (usually regarded as ‘best practices’). However, Vainer (2014) asserts that ‘practices of city modelling are not neutral’ (p.48) so the diffusion of so-called ‘best practice’ has been shaped by ‘multiple forms of coloniality’ (p.49) and globalization. Furthermore, Stone (2004, p. 549) highlights that ‘an international consensus may prevail on ‘best practice’, but local political realities may mean that this consensus cannot take root in policy development’.

In sum, to study the extent to which contemporary planning policies in the HC are being shaped by external influences, the nature of the transfer, diffusion and circulation of urban ideas and practices in the region needs to be understood. Dolowitz *et al.* (2020) have even highlighted this field in general as an appropriate way to address this type of research questions. Therefore, some of the most pertinent conceptual and theoretical frameworks for the *study, analysis* and *classification* of these processes were identified and studied (**Appendix B**) to determine if one of them or a combination could be useful to this research. This section around current debates in policy transfer research, its research streams and theoretical frameworks was vital to develop the structure of this study, further discussed in the methodology section.

2.3. Urban planning and development history of the Hispanic Caribbean

As a starting point towards unfolding the planning and development histories of the three main cities of the HC, their shared background regarding the Spanish rule will be briefly discussed. The Spanish overseas colonization can be regarded as one of the most prominent cases of coercive transfer not only of ideas, but as Morse (1984, p.69) states a whole ‘social, political, and economic order’. The city was Spain’s key instrument for the dissemination and imposition of their values (Castillero-Calvo, 2003, p. 201).

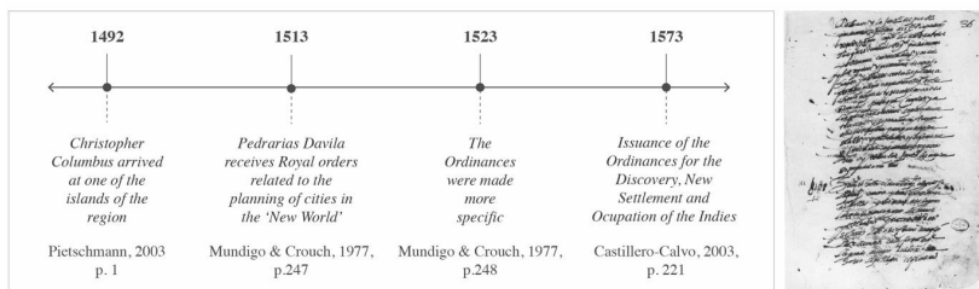


Figure 4. Laws of the Indies. *Source:* Own authorship based on the authors cited. Right: Page 86 of the Laws of the Indies. *Source:* Mundigo & Crouch (1977).

This is evidenced in the ‘*Ordinances for the Discovery, New Settlement, and Occupation of the Indies*’ part of the *Laws of the Indies* (Castillero-Calvo, 2003, p.221) which is considered the first and foremost antecedent of urban planning in the HC (Alomar, 1951). The focus in the next part will be to develop a succinct chronology of the planning and development histories of SD, Havana, and SJ.

2.3.1. Santo Domingo, Dominican Republic

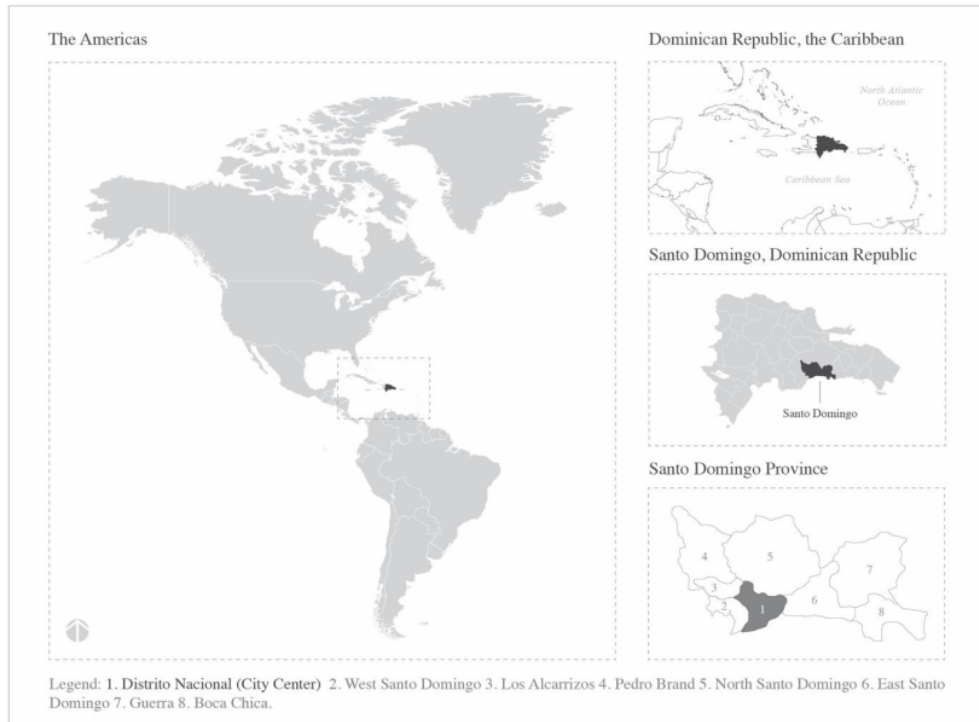


Figure 5. Location of Santo Domingo, Dominican Republic. *Source:* Own authorship.

Santo Domingo is located in the Dominican Republic, which occupies the east side of the island of Hispaniola (Fig. 5). It is the ‘oldest continuously inhabited European settlement in the Americas’ (Núñez Collado, 2019, p. 237) and its urban history has more than 500 years, dating back to 1496 (Valdez, 2015). It is the capital of the country and seat of the government and its development and that of its planning system can be structured around 4 phases according to Núñez Collado (*op. cit.*, p.236): **the colonial city** (1498-1844), **the republican city** (1844-1930), **Trujillo city** (1930-1961), and the **expanded city** (1961-2000) which will be summarized in Figure 6 along with an additional phase; the **contemporary city** (2000-2021).

Historical chronology of urban development and planning in Santo Domingo






Phases	Urban development	Planning system
<p>The colonial city 1498-1844</p> <p>Defining situation: Colonization</p> 	<ul style="list-style-type: none"> -Spanish Crown colonization. -Foundation of the city in 1498 -Coastal location for connection and defence. -Spain hands over control of the island to France from 1795-1809. -Use of the grid plan to rationalize appropriation of territories. 	<p>1502 SD gains urban character with the arrival of Nicolás de Ovando.</p> <p>1573 City Planning Ordinances.</p>
<p>The republican city 1844-1930</p> <p>Defining situation: Independence</p> 	<ul style="list-style-type: none"> -Dominican independence in 1844. -Santo Domingo as the base of the new government. -The city expanded outside the walls. -Economic dependence and Spanish colony status again from 1861-1865. -The United States occupied the DR from 1916-1924, developing major highways and national links. 	<p>1911 Law N. 5011, establishing the urban area.</p>
<p>Trujillo city 1930-1961</p> <p>Defining situation: Trujillo's dictatorship</p> 	<ul style="list-style-type: none"> -Dictatorship of Rafael Trujillo. -He changed the name of SD to Ciudad Trujillo (Trujillo City). -The most salient urban transformations under the discourse of 'modernity' and <i>progreso</i> (progress). -First regulatory urban plan and law. -Slow growth because migration was prohibited. 	<p>1944 Law N. 675 of Urbanization, Public Beautification and Construction</p> <p>1956 Trujillo's urban regulation plan.</p>
<p>The expanded city 1961-2000</p> <p>Defining situation: Accelerated migration</p> 	<ul style="list-style-type: none"> -Assassination of Trujillo. -Mass urban-rural migrations. -Rapid urbanization and horizontal growth of the city. -Use of urban development and projects as 'political propaganda'. -Lack of efficient planning mechanisms. 	<p>1963 Law No. 6232 of Urban Planning, the first and most complete.</p>
<p>The contemporary city 2000-2021</p> <p>Defining situation: Economic growth</p> 	<ul style="list-style-type: none"> -Economic growth and development. -Social inequalities and segregation. -Urban informality. -Vertical growth and horizontal expansion. -Weakness of local governments. -Urban planning gains relevance within the city's legal framework. 	<p>2006 Law 496-06 for the creation of the Ministry of Economy, Planning and Development</p> <p>2019 POT 2030 <i>Plan de Ordenamiento Territorial</i> (Land Use Plan) towards 2030.</p>

Figure 6. Historical chronology of urban development and planning in Santo Domingo. *Source:* Own authorship based on Núñez Collado (2019), Valdez (2015), and García Tatis (1977). *WC:* 283 words.

The history of SD started with the Spanish colonization. Throughout the next phases, it was defined by external and internal influences: a North American intervention, a 30-year dictatorship, politicians who consistently used urban development as ‘political propaganda’ and, most recently, international agendas (Núñez Collado, 2019). Afterwards, dynamics coincided with what King (1977, p.13) calls ‘a post or neo-colonial dynamic’ where different communication lines provide the channel for ‘cultural colonialism’ to continue. This was supported by local presidents such as Joaquín Balaguer or Leonel Fernández who studied abroad and imported foreign urban models under the banner of *progress*.

2.3.2. Havana, Cuba

San Cristóbal de La Habana (Havana) is the capital of Cuba, which is the ‘largest island in the Antilles archipelago’ (Scarpaci *et al.*, 2002, p.3). As a country, it is usually treated as an exception to any statement in the Caribbean due to the intricacies of its political history and status as a socialist state. It is acknowledged throughout the literature (Colantonio & Potter, 2006; Keri, 1984) that its history can be divided into 4 distinct phases: **the colonial city** (1514-1898), the **pseudo-republican city** (1898-1959), **revolutionary Havana** (1959-1989), and the **Período Especial or Special Period** (1898-present) (Figure 8).

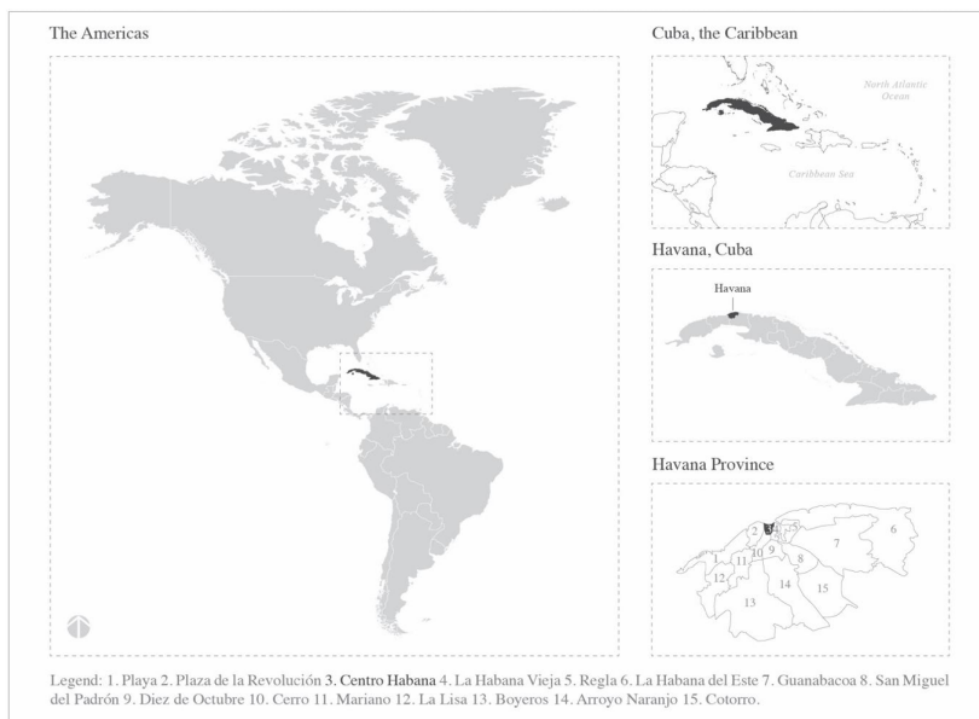


Figure 7. Location of Havana, Cuba. *Source:* Own authorship.

After the Spanish colonization Havana was defined by influences from Europe (Keri, 1984) and the United States. During these years the development of the city occurred without any formal urban plan (Ramos Hernández & Lois González, 2013; Scarpaci et al., 2002), turning Havana into the primate city of the country around capitalist dynamics (Keri, 1984). The Cuban Revolution transformed this with support from the Soviet Bloc and COMECON. During this phase, most of the modern plans were dismissed (Ponce Herrero, 2017) and new urban measures were taken to revert the primacy of Havana. Then, with the collapse of the USSR and COMECON, a ‘special period’ began in which urban planning activities paused for several years. Meanwhile, a ‘new development strategy’ (Colantonio & Potter, 2006, p.67) based on tourism and the external sector has had to be devised to address the crisis.

Historical chronology of urban development and planning in Havana





Phases	Urban development	Planning system
<p>The colonial city 1514-1898</p> <p><i>Defining situation:</i> Colonization</p> 	<ul style="list-style-type: none"> -Spanish Crown colonization. -Foundation of the city in 1519. -Havana was first located in the southern coast, then moved to the northeastern shore. -Semiregular grid related to the Laws of Indies. -Defensive needs of the city defined its physical limits. 	<p>1573 City Planning Ordinances.</p> <p>1592 Havana gains city status.</p> <p>1862 Building codes.</p>
<p>The pseudo-republican city 1898-1959</p> <p><i>Defining situation:</i> USA influence</p> 	<ul style="list-style-type: none"> -Independence from Spain in 1898. -Cuba became a protectorate of the US until 1902. -Strong influence by USA. -Speculative planning and uncontrolled suburban expansion. -Influence from modernist models and the CIAM, supported by local urbanists. 	<p>1955 Northamerican firm <i>Town Planning Associates</i> was hired to design several urban plans for Cuba, such as the <i>Havana Plan Piloto 1955-1958</i>.</p>
<p>Revolutionary Havana 1959-1989</p> <p><i>Defining situation:</i> Cuban Revolution</p> 	<ul style="list-style-type: none"> -Social revolution led by Fidel Castro in 1959. -New urban policies to reduce the rural-urban imbalances. -Reduction of Havana's primacy. -Functional integration between town and country. -Creation of urban planning mechanisms and institutions. 	<p>1960 Creation of the Central Planning Board (<i>Junta Central de Planificación</i>).</p> <p>1975-1990 The field of physical planning developed. Plans, institutions and processes.</p>
<p><i>Periodo Especial</i> (Special Period) 1989-present</p> <p><i>Defining situation:</i> Collapse of the Soviet Bloc</p> 	<ul style="list-style-type: none"> -Collapse of the USSR and COMECON caused a national socio-economic crisis and paused everything related to planning -New development strategy around tourism and the external sector. -Movement from a socialist economic model to a hybrid one with Raul Castro's measures in 2006. 	<p>1993 Municipal planning.</p> <p>2021 -<i>Plan General de Ordenamiento Urbano La Habana al 2030</i>. (2030 Land Use Plan) -Master Plan for 21st Century Havana</p>

Figure 8. Historical chronology of urban development and planning in Havana. *Source:* Own authorship based on Scarpaci *et al.* (2002), Colantonio & Potter (2006), Ponce Herrero (2007), Ramos Hernández & Lois González (2013), and Font & Jancsics (2016). WC: 251 words.

2.3.3. San Juan, Puerto Rico

San Juan is located in the northeastern coast of PR and is the most populated municipality in the country. It was the key point for the control of commercial and military activities between the colonies of the Spanish Crown in the Americas (Guilbe López, 2020). Contrary to SD and Cuba, PR is not a fully independent country. Since 1952, it has been a *Estado Libre Asociado* ('Free Associated State') or commonwealth of the US (Issacharoff *et al.*, 2019).



Figure 9. Location of San Juan, Puerto Rico. *Source:* Own authorship.

According to Sepúlveda (1997), there are 5 stages in the economic history of Puerto Rico that have shaped its urban history and development (Figure 10): **the colonial city** (1519-1898), **US rule – rise of the sugar industry** (1899-1930), **US rule – fall of the sugar industry** (1930-1940), **US rule – industrialization and economic growth** (1940-1970), and **US rule – tertiary sector economy** (1970-present).

Historical chronology of urban development and planning in San Juan






Phases	Urban development	Planning system
<p>The colonial city 1519-1898</p> <p>Defining situation: Colonization</p>	 <ul style="list-style-type: none"> -Spanish Crown colonization. -Foundation of the city in 1519 -English (1595, 1598, 1797) and Dutch (1625) attacks, led Spain to invest in fortification and defence infrastructure. -Main military and defence point in the Americas along with Havana and Cartagena de Indias. 	<p>1521 San Juan becomes capital of Puerto Rico.</p> <p>1573 City Planning Ordinances.</p>
<p>United States rule 1899-1930</p> <p>Defining situation: Rise of the sugar industry</p>	 <ul style="list-style-type: none"> -Puerto Rico becomes territory of the United States. -Construction of national highways. -American sugar corporations settled, displacing people from the country towards urban areas. -First informal settlements developed in San Juan as a result. -First streetcar suburb in 1908. 	<p>1908 First streetcar suburb</p> <p>1920 <i>Barrio Obrero</i>, project to enhance the social housing situation</p>
<p>United States rule 1930-1940</p> <p>Defining situation: Fall of the sugar industry</p>	 <ul style="list-style-type: none"> -Informal settlements grew alarmingly. -In this decade, planning related reports and studies about the condition of the island were developed. -First social housing project in 1938. -First suburban housing projects with federal subsidies. 	<p>1932 American urban planner Harland Bartholomew submits the report <i>A preliminary City Planning Investigation of San Juan Puerto Rico</i>.</p>
<p>United States rule 1940-1970</p> <p>Defining situation: Industrialization and economic growth</p>	 <ul style="list-style-type: none"> -Puerto Rico becomes a <i>Estado Libre Asociado</i> or commonwealth in 1952. -Accelerated economic growth. -Radical changes in the urban landscape. -Suburbanization patterns, car dependency, centralized planning. -Operation Bootstrap. 	<p>1941-1946 Rexford Tugwell mandate. Part of the 'brain trust' of Roosevelt and who started the planning agenda</p> <p>1942 Creation of the Planning Board (<i>Junta de Planificación</i>)</p>
<p>United States rule 1970-present</p> <p>Defining situation: Tertiary sector economy</p>	 <ul style="list-style-type: none"> -Urban areas lost population and the periphery grew during 1970-1990. -More power to the municipalities. -The government became a facilitator of development instead of the main actor. -Economic crisis and recession. 	<p>1991 <i>Ley de Municipios Autónomos</i> (Law of Autonomous Municipalities)</p> <p>2003 <i>Plan de Ordenación Territorial</i> (Land Use Plan)</p>

Figure 10. Historical chronology of urban development and planning in San Juan. *Source:* Own authorship based on Sepúlveda (1997), Guilbe López (2020), Alomar (1951), and Howell (1952). WC: 289 words.

After the Spanish colonization, the second phase started when PR became territory of the US. A twofold situation emerged: the development of streetcar suburbs for the ruling classes and the advent of the first *arrabales* or informal settlements (Sepúlveda, 1997). During the third phase, most of the reports and studies about the condition of the island were developed by north American planners such as Harland Bartholomew and Elber Peets (Alomar, 1951). These documents served as guidelines for the subsequent development of urban plans clearly based on modernist ideas and the American lifestyle. The current phase has been characterized by the rise of a tertiary sector economy, suburbanization processes and urban sprawl.

2.4. Summary and categorization of external influences in the 20th century

Evidenced here, is what García Tatis (1977, p.17) highlighted; it would be insufficient to consider urban planning as something limited to the activities of those organisms in charge of planning. In the HC, it has been a combination of historical, political, economic, social, cultural, and technical dynamics exerting different levels of influence at different times. Although different, the urban development and planning histories of SD, Havana and SJ are filled with varying degrees of power asymmetries with both coercive and voluntary transfer being identified. These influences are summarized in Table 2 and structured around categories based on Ward's (2000, p.45) typology of diffusion, specifically based in 'the power relationship between the countries originating and receiving planning models'.

2.5. Conclusions

The study of literature regarding policy transfer, diffusion, and circulation in relation to the planning and development histories of SD, Havana, and SJ revealed the complexities of the transnational movement of planning ideas and practices in the region. In relation to the second component, after reviewing, summarizing, and categorizing the main external influences identified, the frequency of foreign interventions, the existing power asymmetries, and the historical dependence on external planning traditions were revealed. Mainly, the fact that the predominant typologies of diffusion since the founding of the cities up until the 20th century have been *authoritarian* and *negotiated* imposition. Unfortunately, studies about the *current* state of external influences on urban planning policies in the HC are lacking. As a result, this study will attempt to address this research gap. The next section is the methodology chapter, in which the steps followed to achieve this will be explained in detail.

Summary and categorization of external influences in the 20th century

City	Period	Main influences	Predominant typology	Examples
SANTO DOMINGO	The colonial city 1498-1844	Spain	Authoritarian imposition	Initial city form, location and primacy
	The republican city 1844-1930	Spain, United States	Negotiated imposition	US intervention and their legacy of national highways
	Trujillo city 1930-1961	Dictator Rafael Trujillo, Modernism, US	Negotiated imposition	Use of modernist guidelines to rebuild the city after the 1930 hurricane
	The expanded city 1961-2000	Spain, United States	Negotiated imposition	Development of garden-city like suburban neighbourhoods.
	The contemporary city 2000-2021	United States, international organizations		To be explored in Chapter 4
HAVANA	The colonial city 1514-1898	Spain	Authoritarian imposition	Initial city form and location based on defensive needs
	The pseudo-republican city 1898-1959	Spain, United States	Contested imposition	Initial primacy of Havana based on capitalist dynamics by the US
	Revolutionary Havana 1959-1989	The Soviet Union and the Socialist Bloc	Selective borrowing	Functional integration between town and country
	Periodo Especial (Special Period) 1989-present	Socialism and the status of foreign relations, which is evolving		To be explored in Chapter 4
SAN JUAN	The colonial city 1519-1898	Spain	Authoritarian imposition	Initial city form and location based on defensive needs
	United States rule 1899-1930	United States	Contested imposition	First streetcar suburb based on the north American model
	United States rule 1930-1940	United States	Contested imposition	North American urban planners submit reports and plans for Puerto Rico
	United States rule 1940-1970	United States	Contested imposition	Genesis of suburban PR: Puerto Nuevo-Caparra Terrace urbanization
	United States rule 1970-present	United States		To be explored in Chapter 4
LEGEND	Authoritarian imposition	'Total dependence on one external planning tradition'	Synthetic borrowing	'Indigenous planning movement plus wide external contacts'
	Contested imposition	'High dependence on one external planning tradition'	Selective borrowing	'External contact with innovative external planning traditions'
	Negotiated imposition	'Dependence on external planning tradition(s)'	Undiluted borrowing	'Indigenous deference to innovative external planning traditions'

Table 2. Summary and categorization of external influences in the 20th century. *Source:* Own authorship using the typology developed by Ward (2000, p.44). For references see captions in figures 6, 8, and 10. WC: 286

Chapter 3. Methodology

3.1. Introduction

This chapter focuses on the study’s rationale and the methods chosen to address the research aim. First, the overall strategy will be explained. Then, the logic behind the case study and the secondary data collection along with a detailed account of the planning policies being studied and the analytical framework. Finally, the limitations and ethical considerations are discussed.

3.2. Research strategy

This research is concerned with an *in-depth* investigation of the *current* state of a specific *phenomenon* within a particular *context*, to advance up-to-date knowledge that can potentially inform current planning processes in the HC. Therefore, the strategy chosen was a case-based cross-national comparative approach with an exploratory basis and interpretivist epistemological orientation (Fig. 11).

According to Yin (2018, p.15), a case study is ‘an empirical method that investigates a contemporary phenomenon in-depth and within its real-world context’ especially suitable when the ‘contextual conditions’ are pertinent to understanding said phenomenon. This resonated with the study’s aim as it was rooted in the post-colonial character of the region and its embedded dynamics, tensions, and power asymmetries. In addition, the exploratory nature of the research question and the fact that policy transfer dynamics involve two or more entities called for a multiple-case study.

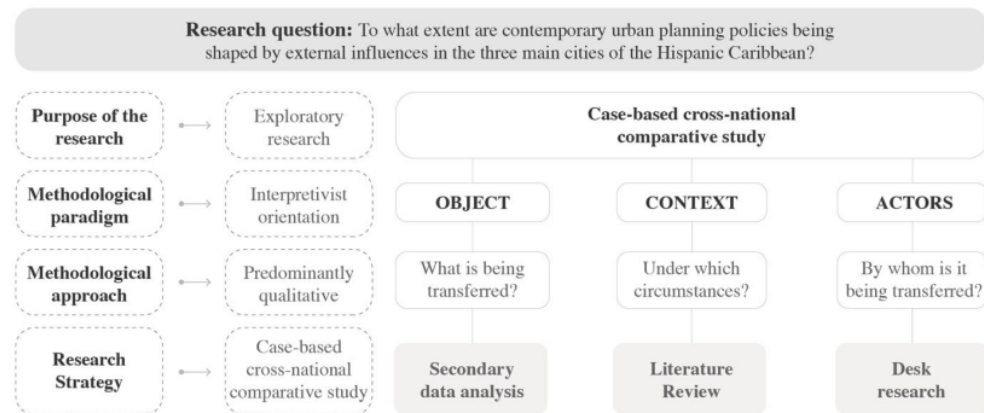


Figure 11. Research methodology diagram (Part 1). *Source:* Own authorship. WC: 71.

The methodology was threefold: 1. The *context*; studying under which circumstances ideas and practices have been transferred or circulated through a review of the planning and development histories of SD, Havana, and SJ along with a summary of the external influences identified. All of this in relation to contemporary debates regarding policy transfer, diffusion, circulation, and mobilities. 2. The *object*; identifying what ideas or models are being transferred by analysing the content of national / city level planning policies from the three cities. 3. The *actors*; exploring by whom and through which mechanisms are these ideas or models being transferred. This was done through a brief study of additional aspects that play a role in the circulation of urban ideas (Ultramari *et al.*, 2019; Stone, 2004; Wood, 2015) such as the cities' conditions regarding the production and dissemination of planning knowledge through local academic programs and existing organizations providing financial aid for their urban projects and plans.

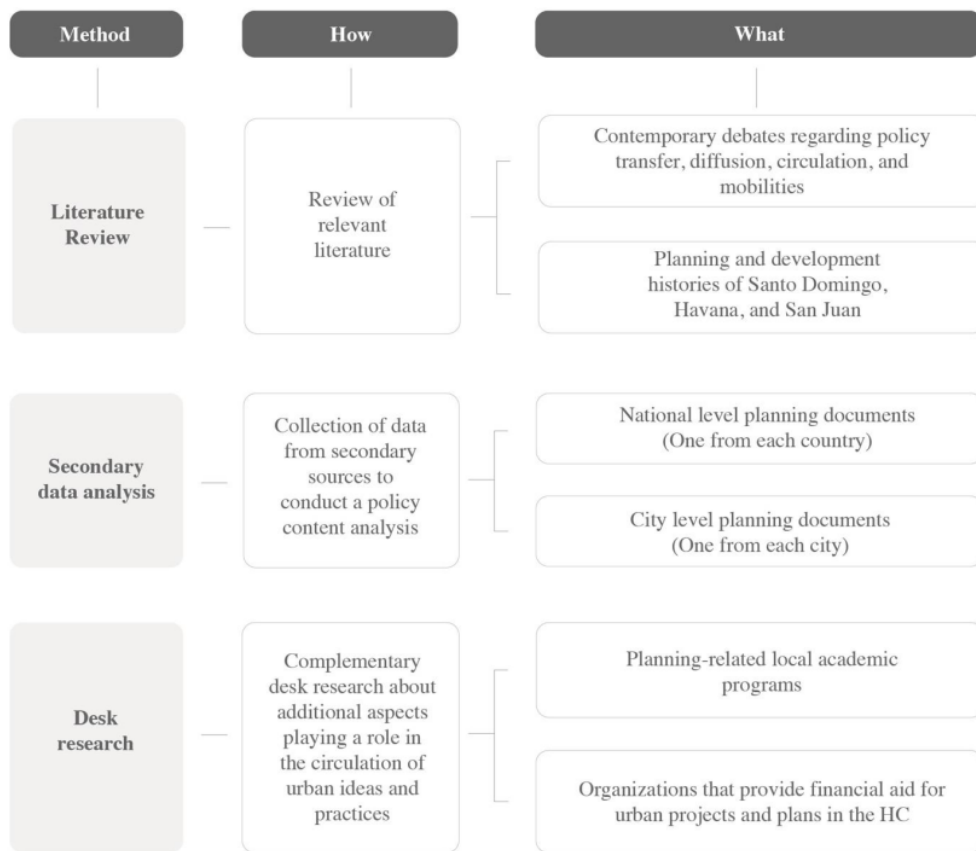


Figure 12. Research methodology diagram (Part 2). *Source:* Own authorship. WC: 96.

3.3. Case study selection

Although policy transfer can happen nationally and across different scales of governance, this process usually involves a plurality of nations and actors, especially in the current presence of ‘systemic globalizing forces’ (Evans, 2009). Relevant literature identified a prominent research gap in developing countries (Watson, 2009), and the Caribbean specifically (Ferrer, 2016; Díaz-Márquez, 2019; Evans, 2009). However, it was clear from the start that the case study had to be more focused than the Caribbean as a whole, due to the region’s heterogeneity and fragmentation (Fig. 1). As a result, the HC was selected according to a set of criteria that combined, proved to be sufficient to conduct an original and meaningful research (Fig.13).



Figure 13. Selection criteria for the case study. *Source:* Own authorship. WC: 63.

3.4. Data collection

The unit of analysis was contemporary planning policy documents of the three main cities of the HC. These documents were identified by visiting government agencies and local planning institutions’ websites. The rationale for the selection of the final documents was threefold: a. published in the period 2000-2021, b. addressed the main vision and plan for the country/city, and c. written in the same language. The logic behind this decision can be explained by providing Ureta’s (2014, p.303) definition of policies as ‘assemblages formed by an ample array of heterogeneous elements, from technical standards to everyday practices’. The focus was on the former element, examining the documents that are supposed to guide planning and development in the region. What Khirfan *et al.* (2020, p.6) call the ‘formal characteristics of the material’ are presented in **Appendix C**.

3.5. Framework for data analysis

After gathering the secondary data, a process of description, analysis, and synthesis was conducted. This was done through content analysis, defined by Elo & Kyngäs (2007, p. 107) as a ‘method of analysing written, verbal or visual communication messages’. Bista *et al.* (2021) highlight how this technique allows for the discovery of novel insights and the exploration of different phenomena. A total of 6 planning policy documents were read in their entirety: 3 national-level documents, one from each country and 3 city-level documents, one from each city. In addition, each countries’ National Development Strategies were taken as reference as the main documents guiding their overall vision (Table 3).

This was done by considering the main *concepts* related to the research question, taking as a guide the policy transfer framework developed by Dolowitz and Marsh (2000) and additional elements studied by Rose (1991) to assess the extent to which these planning policies are being shaped by external influences.

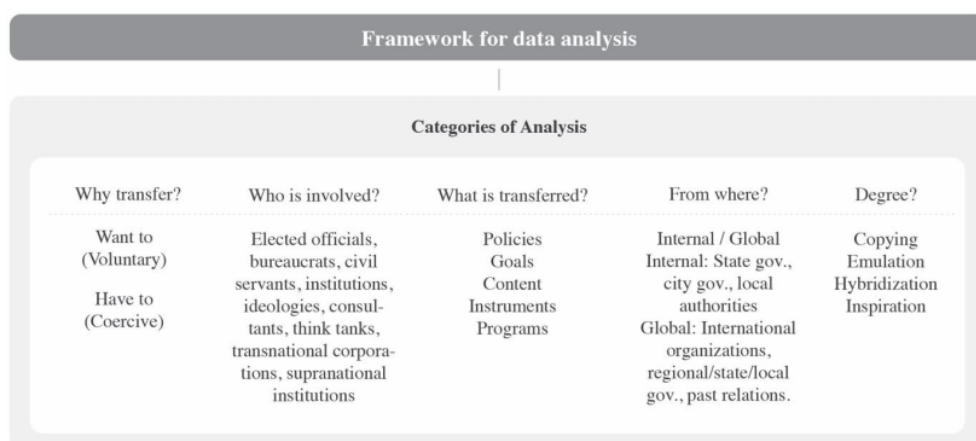


Figure 14. Framework for data analysis. *Source:* Own authorship based on the policy transfer framework by Dolowitz and Marsh (2000, p.9) and Rose (1991, p.22). WC: 63.

3.6. Limitations

Two main limitations were identified. First, Yin (2018) recognizes the difficulty to generalize from case studies. Nevertheless, the goal was not to provide generalizable findings, but a framework that could be used in other developing areas to study external influences on local planning policies.

Second, the lack of primary data to compare the findings from different research methods. In this case, performing interviews to relevant planning officers, decision-makers, and actors was considered. However, due to the tense political situation of one of the countries (Cuba) at the moment of the research, this was not possible. As a result, the research turned to *data triangulation*, explained by Gaber and Gaber (2007, p.136) as a way to ‘search for as many data sources as possible within the same method’. This was done through a LR, content analysis and desk research. In addition, the exploratory nature of the study, implies that it’s an initial approach to a subject that has been historically under researched and would serve as a foundation for more comprehensive studies in the future.

3.7. Ethical considerations

Risks related to data protection were low since no personal data was used. Those related to the health and safety of the researcher were also low since no fieldwork or interviews were conducted. Overall, it was vital to consider equality and diversity. Specially with regions such as the Caribbean, it is common to find that most references in key works are from Western or American countries. Although the experience of this region can be told from a wide array of perspectives, the idea was to decolonise the research process by considering local voices and engaging with different points of view. By being able to examine documents both in Spanish and English, the research was able to be informed by both local and international perspectives, unlocking a wide range of literature, sometimes overlooked due to language barriers.

Finally, according to Farthing (2016) there are no ethical issues regarding comparative research, however, and especially with the methods used, the transparency of the analytical framework was paramount to the *reliability* and *validity* of the study.

Chapter 4. Case Study Findings: Description, Analysis and Synthesis

4.1. Introduction

This chapter reveals the findings of the cross-national comparative case study. It provides up-to-date information regarding the extent to which urban planning policies are being shaped by external influences in the three main cities of the HC and the impacts this may have on future growth and development. After clarifying the *context* by unveiling the complex dynamics, power asymmetries and historical imposition of planning traditions in SD, Havana and SJ, the next two steps in the research strategy (Figures 11-12) are taken. First, recognizing the *actors* involved and the mechanisms through which urban ideas or models are being transferred. This will be done through desk research of additional aspects that play a role in these processes. Second, the *object*, determine which ideas or models are being transferred with the unit of analysis being the contemporary national / city level planning policies stated in Table 3.

Overall, the findings are described, analysed comparatively, and synthesized against the LR. The complementary desk research will be presented first, followed by the policy content analysis.

4.2. Complementary Desk Research: Santo Domingo, Havana, and San Juan

This section focuses on two aspects suggested within the literature to play a role in the circulation of urban ideas and practices: (1) exploring the cities' local offer and availability of planning-related academic programs, and (2) identifying organizations providing financial aid for their urban projects and plans.

4.2.1. Planning-related local academic programs

Examining the countries' conditions regarding local production and dissemination of planning knowledge through academic programs is vital, since planning education and its related dynamics are directly involved in the circulation of urban ideas and practices (Healey, 2013). This was done by identifying the countries' official lists of universities, visiting their websites and documenting the programs related to city planning, urban design, or territorial ordering. The results are presented in Figure 15 with more detail in **Appendix D**. Cuba has by far the broader and more diverse offer of planning related academic programs, uniformly distributed around the country (Fig. 16). They even have 15 polytechnics across the island where people in secondary school can graduate with technical qualifications in Physical Planning.

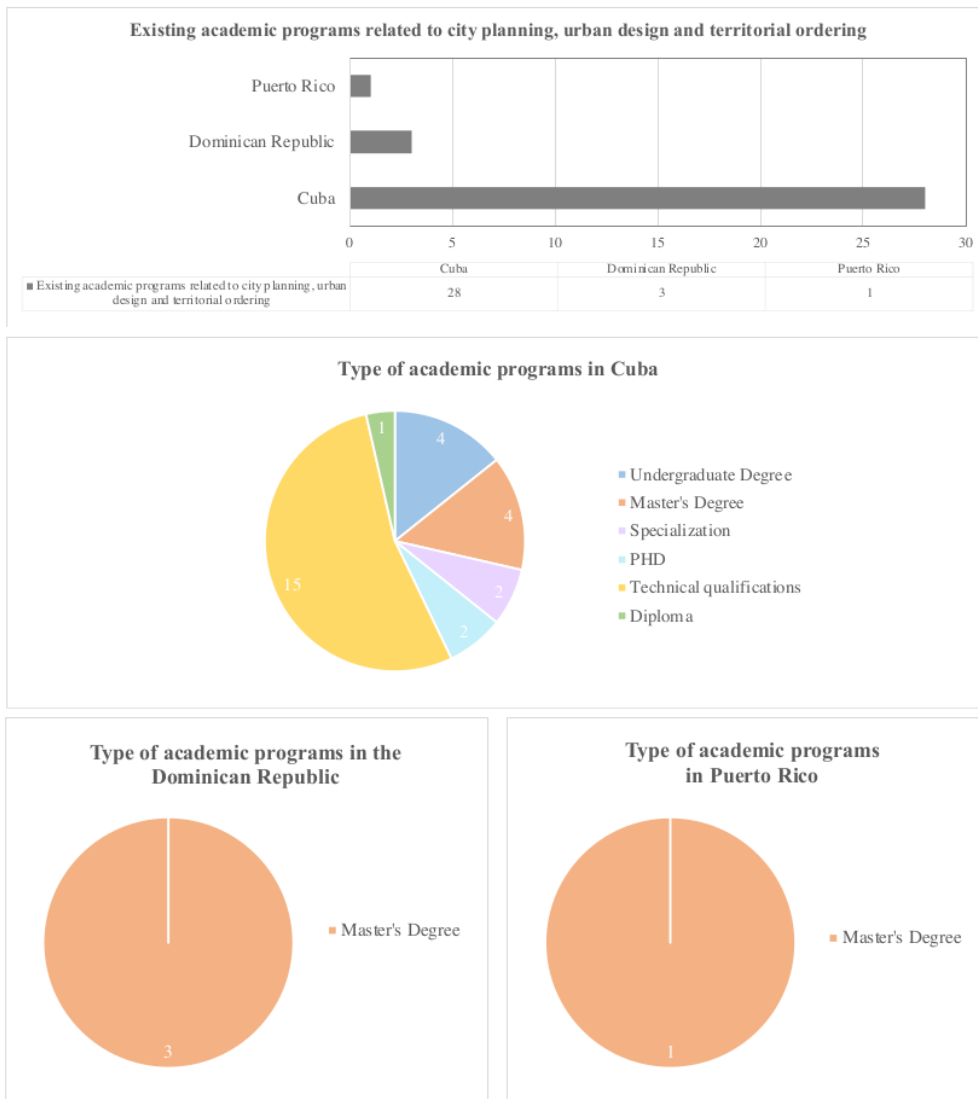


Figure 15. A: Existing academic programs related to city planning, urban design, and territorial ordering in the HC. B, C, D: Type of academic programs offered per country. *Source:* Own authorship.

This finding, along with the restrictions that Cuba has regarding the time a citizen can be abroad without losing its residency can be inferred to encourage professionals to study locally, enhancing the production of local expertise and minimizing the import of foreign ideas. On the other hand, the Dominican Republic offers only three planning-related master's degrees in the two main cities of the country, with only one fully focused on city planning, urban design, and territorial ordering. Finally, PR offers one master's degree in Planning nationally, with

professional accreditation from the Planning Accreditation Board of the American Institute of Certified Planners and most of its faculty educated from universities across the United States.

The situation observed in the DR and PR, is a common one throughout developing regions. For instance, Hasan Swapan & Khan (2018) point out how professionals in Bangladesh usually seek to obtain their graduate qualifications from planning schools in the US and Europe due to the limited offer locally. And how, because of the scarce local research related to planning, universities tend to ‘adopt Western based curriculums’ (*ibid.*, p.349). This perpetuates the need to look outside for planning ideas and practices ‘due to the lack of local expertise, institutional capacity and financial resources’ (*ibid.*, p.341).



Figure 16. Location of planning-related academic offers per country. *Source:* Own authorship.

4.2.2. Organizations providing financial aid for local urban projects and plans

This section will present a summary of the main organizations providing financial aid for urban projects and plans in the three cities of the HC. Foreign aid agencies and packages were

identified by Hasan Swapan & Khan (*op. cit.*, p.341) as a ‘conduit’ for the movement and travel of planning ideas and practices, due to the guidelines usually attached to get financing.

Appendix E summarizes this information organized by country, organization, type, and origin with the DR being the country with the wider and most varied array of international collaborations regarding financial aid for urban projects and plans (evidenced in Figure 17). Cuba collaborates with three main international institutions, nevertheless none of those have their origin in the US. This is basically due to the tense relationship between the two countries, ‘underpinned by an economic, commercial and financial embargo of Cuba from the United States’ (White, 2019, p.163). Finally, and evidently, PR as a *Free Associated State* of the US, has their major contributions coming from this country. In fact, the Association for Financial Professionals highlights that PR ‘relies on the US Federal Reserve System’ since it doesn’t have a central bank (AFP Country Profiles 2016, p. 2).

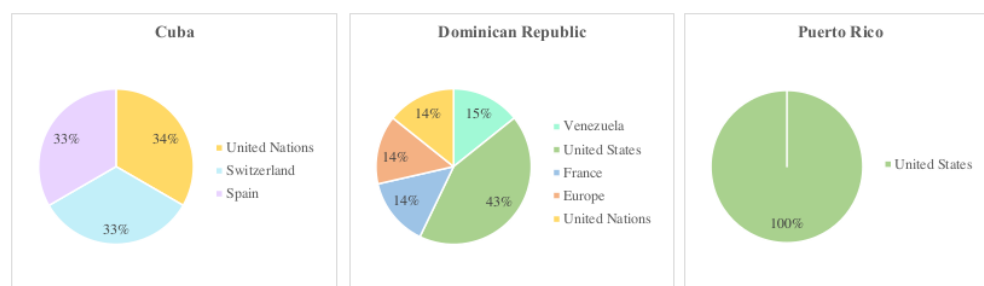


Figure 17. Organizations providing financial aid in the HC organized per origin. *Source:* Own authorship.

Overall, this generalized tendency towards aid-dependency for urban development projects and plans has been identified as characteristic of a gradual transition from ‘more authoritarian to prescriptive imposition of planning ideas’ (Hasan Swapan & Khan, *op. cit.*, p. 340).

4.3. Policy Content Analysis Findings

This section reveals and discusses the findings of the third and final step in the research strategy; to determine which ideas or models are being transferred in the HC with the unit of analysis being contemporary national / city level planning policies. This will be done using the twofold analytical framework detailed in the methodology chapter (Figure 14) (a sample of the templates used is available in **Appendix F**). For each country, the policy content analysis is first presented in a table using the study’s analytical framework. Then, it is discussed with supporting graphics and charts. Finally, it is analysed, synthesized, and compared against the LR and the complementary desk research.

4.3.1. Santo Domingo, Dominican Republic

SANTO DOMINGO, DOMINICAN REPUBLIC		
-City level policy-		
<i>Analytical framework</i>	<i>Policy Content Analysis</i>	
WHY TRANSFER?	Want to	Lesson drawing
	Have to	International pressures, conditionality, and obligations. The DR has ratification status with the Paris Agreement and the Kyoto Protocol. It is part of the International Monetary Fund, with outstanding purchases and loans of almost 500 million dollars and it has various financial agreements with the World Bank. According to the UN the DR is listed as partner or lead entity of various partnership initiatives and voluntary commitments related to the SDG's with local partners such as the National District City Council and the Ministry of the Environment and Natural Resources.
WHO IS INVOLVED?	Elected officials / local authorities	Dirección de Planeamiento Urbano del Ayuntamiento del Distrito Nacional (DPU-ADN), Ministerio de Economía, Planificación y Desarrollo (MEPyD) and 43 supporting public institutions.
	International consultants	ICF International
	Community organizations	16 local community organizations
	Academic institutions	6 local universities
	Think Tanks	Local think tanks composed of influential architecture and planning experts.
	Transnational / international institutions	USAID, ICMA, APA (American Planning Association), City of Austin (Austin City Council), USFS, CUNY (City College New York), ICOMOS (International Council on Monuments and Sites), FHI 360 (non-profit organization based on North Carolina), FEWP (Fundación Erwin Walter Palm), IADB, UNDP, Bloomberg Philanthropies.
	Supranational organizations	UN, World Bank, International Monetary Fund, EU.
WHAT IS TRANSFERRED?	Goals	New Urban Agenda (Literal reference to specific articles 25,31,32,33,37,41,46,47,48,50,52,54,63,64,67,77,80,96,97,98,106,108,114,115,119), Sustainable Development Goals (Mainly goal 11 related to sustainable cities and communities)

	Instruments / urban models	Literal reference to: Bus Rapid Transit, Transit Oriented Development, Complete Streets, Tactical Urbanism, Compact City, Park and Ride, Parklets.
FROM WHERE?	Internal	City council and its Urban Planning Department, 35 local authorities and public institutions, local experts, and consultants, more than 280 social and community organizations, 2 local professional associations and specialized groups, 6 local universities, local reports and studies from different ministries, local economic institutions.
	External	Urban ideologies and models from other countries (US, UK, LAC, France), international agreements such as the UN 2030 Agenda, New Urban Agenda and the Sustainable Development Goals (United Nations).
TO WHAT DEGREE?	Copying	'Direct and complete transfer'
	Emulation	'Transfer of the ideas behind a policy or program'

Table 4. Santo Domingo's city-level policy content analysis. Document: **No. 3, Appendix C.** *Source:* Own authorship using the study's analytical framework based on Dolowitz & Marsh (2000) and Rose (1991).

DOMINICAN REPUBLIC -National level policy-		
<i>Analytical framework</i>		<i>Policy Content Analysis</i>
WHY TRANSFER?	Want to	Lesson drawing
WHO IS INVOLVED?	Government agencies	MEPyD, MIMARENA, DGODT, INDRHI.
	Consultants	CAP Consulting Group
	Think Tanks	Does not apply
	Transnational / international institutions	USAID, SICA, TNC (The Nature Conservancy)
	Supranational organizations	UN, United Nations Development Programme (UNDP)
WHAT IS TRANSFERRED?	Policies	Literal reference to The European Spatial Development Perspective (ESDP)
FROM WHERE?	Internal	City government, local authorities, local consulting group
	External	The European Union, United States, and supranational organizations
TO WHAT DEGREE?	Inspiration	'The final outcome does not actually draw upon the original'

Table 5. Santo Domingo's national-level policy content analysis. Document: **No. 2, Appendix C.** *Source:* Own authorship using the study's analytical framework based on Dolowitz & Marsh (2000) and Rose (1991).

Santo Domingo’s city-level policy content analysis sheds light on the strong presence of both voluntary lesson drawing to international pressures and foreign aid conditionality. However, the actors involved are highly varied, ranging from local authorities, academic institutions, and community organizations to international consultants, think tanks, and supranational institutions. Evident in Table 5, is the wide variety of transnational and international institutions that collaborated in the making of this policy, all of which were acknowledged within the document. In terms of what is being transferred, two main elements stand out: goals and urban models. There’s literal reference to 25 articles from the NUA and the SDG 11 related to sustainable cities and communities. In terms of urban models, there’s reference to 8 foreign urban models from five different countries (Fig. 18). As a result, the degree of transfer in this case was identified as mainly *copy* and *emulation*.

On the other hand, the national-level policy content analysis is characterized by mainly voluntary lesson drawing, resulting in an *inspirational* degree of transfer. The only reference to a foreign model was to the European Spatial Development Perspective (ESDP), mentioned as a goal in terms of a regional integration in terms of territorial ordering. However, this document was made in collaboration with organizations such as the UN and the UNDP as well as the city-level planning document, showing a high degree of collaboration with these type of development aid agencies. Figure 18 summarizes graphically these key findings.

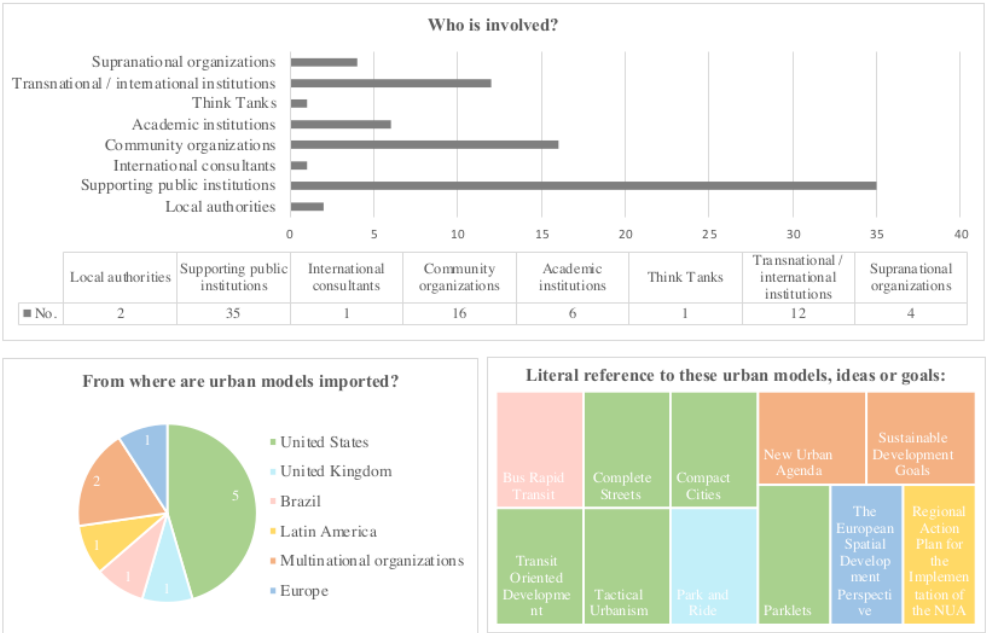


Figure 18. Summary of key findings in terms of external influences to Santo Domingo’s planning policies. *Source:* Own authorship.

4.3.2. Havana, Cuba

HAVANA, CUBA -City level policy-		
<i>Analytical framework</i>		<i>Policy Content Analysis</i>
WHY TRANSFER?	Want to	Lesson drawing
WHO IS INVOLVED?	Government agencies	Instituto de Planificación Física (IPF) (8 professionals), Consejo de la Administración Provincial de La Habana (2 professionals), Dirección Provincial de Planificación Física (17 professionals).
	Supporting local institutions	National level: 35 institutions, Provincial level: 25 institutions.
	Consultants	19 professionals (local)
	Academia	9 professionals
	Think Tanks	Does not apply.
	Transnational / international institutions	Does not apply.
	Supranational organizations	UN, United Nations Human Settlement Programme (UNHABITAT)
WHAT IS TRANSFERRED?	Goals	The New Urban Agenda, Sustainable Development Goals
	Instruments / urban models	Compact city
FROM WHERE?	Internal	Government agencies, supporting local institutions at national and provincial level, a consulting group of local experts.
	External	Currently, the Cuban government has made a commitment in collaboration with UNHABITAT, evidenced in their 'State Plan for the Implementation of the New Urban Agenda in Cuba' (ECLAC, 2021). This document is supposed to guide both the National Land Use Planning Scheme (ENOT) and the local plans such as the Urban Land Use Plan for Havana 2030.
TO WHAT DEGREE?	Inspiration	'The final outcome does not actually draw upon the original'

Table 6. Havana's city-level policy content analysis. Document: **No. 6, Appendix C.** *Source:* Own authorship using the study's analytical framework based on Dolowitz & Marsh (2000) and Rose (1991).

HAVANA, CUBA -National level policy-		
<i>Analytical framework</i>		<i>Policy Content Analysis</i>
WHY TRANSFER?	Want to	Lesson drawing
WHO IS INVOLVED?	Government agencies	Consejo de Ministros, Instituto de Planificación Física, Organismos de la Administración Central del Estado, Entidades Nacionales, Consejos de la Administración Provincial, gobiernos provinciales del Poder Popular.
	Consultants	Does not apply.
	Think Tanks	Does not apply.
	Transnational / international institutions	Does not apply.
	Supranational organizations	UN, United Nations Human Settlement Programme (UNHABITAT)
WHAT IS TRANSFERRED?	Urban models	Reference to geoparks, as a possible tool for the conservation of the territory based on its geological values, compact city model
FROM WHERE?	Internal	Government agencies, planning institutions, elected officials, professional bodies
	External	France, Europe
TO WHAT DEGREE?	Inspiration	'The final outcome does not actually draw upon the original'
	Emulation	'Transfer of the ideas behind a policy or program'

Table 7. Havana's national-level policy content analysis. Document: **No. 5, Appendix C.** *Source:* Own authorship using the study's analytical framework based on Dolowitz & Marsh (2000) and Rose (1991).

Havana's city-level policy content analysis differs from SD in that no transnational or international institutions were directly involved in the development of the policy. All consultation processes were made with local experts and professionals in the area. A much lower degree of transfer was detected (there was reference to only one external model, Compact City, as opposed to 11 in SD). As a result, it falls under the category of lesson drawing or as Ward (2000, p. 44) calls it 'selective borrowing', characterized by 'contact with innovative external planning traditions'. In addition, in terms of supranational organizations, UNHABITAT is their main collaborator. The Cuban government made a commitment to implement the New Urban Agenda with an underpinning based on their socialist economic and social strategy, therefore, both Havana and SD pay attention to the NUA as a form of shared vision and urban guidelines.

On the other hand, the national-level policy content analysis has similar characteristics, with two direct external references, one to geoparks, a European model for the conservation of the territory and one to the compact city model to structure cities and other human settlements. Most actors are local, and the degree of transfer is mainly *inspiration* and *emulation*. In line with the findings in the complementary desk research, the quality of the academic offer in relation to urban planning in Cuba justifies the existence of a highly developed local expertise and knowledge in the area, explaining the independence of this country during the process of developing planning policies. This is opposed to the DR, where the lack of planning-related academic programs and the large amount of urban financing from international institutions, can be inferred to explain their higher level of transnational cooperation and transfer of planning ideas and models. Figure 19 summarizes graphically these key findings.

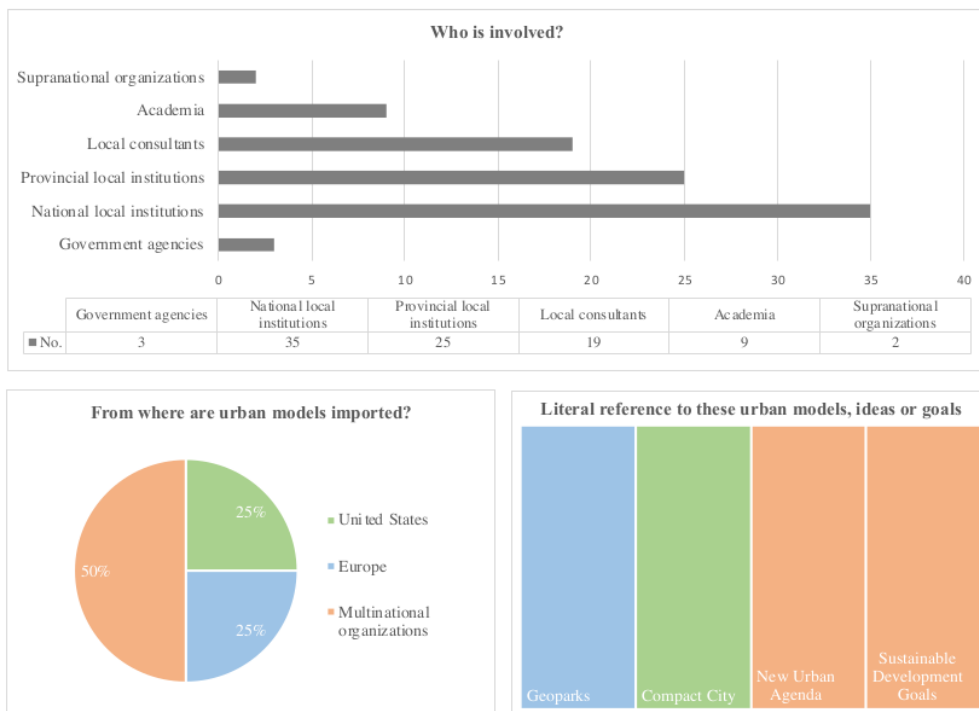


Figure 19. Summary of key findings in terms of external influences to Havana's planning policies. *Source:* Own authorship.

4.3.3. San Juan, Puerto Rico

SAN JUAN, PUERTO RICO -City level policy-		
<i>Analytical framework</i>		<i>Policy Content Analysis</i>
WHY TRANSFER?	Want to	Lesson drawing
WHO IS INVOLVED?	Government agencies	Junta de Planificación (Puerto Rico's Planning Board), Department of Urbanism of San Juan's Municipality, Oficina de Centros Urbanos (Office of Urban Centers), Planning and territorial ordering office, Department of Urban Design and Project Development, elected officers.
	Consultants	10 professionals
	Collaborators	26 professionals
	Think Tanks	Does not apply.
	Transnational / international institutions	Does not apply.
	Supranational organizations	Does not apply.
WHAT IS TRANSFERRED?	Goals	Sustainable Development
	Instruments / urban models	Compact city
FROM WHERE?	Internal	Government agencies
	External	US, World Commission on Environment and Development, UN
TO WHAT DEGREE?	Inspiration	'The final outcome does not actually draw upon the original'

Table 8. San Juan's city-level policy content analysis. Document: **No. 9, Appendix C.** *Source:* Own authorship using the study's analytical framework based on Dolowitz & Marsh (2000) and Rose (1991).

SAN JUAN, PUERTO RICO -National level policy-		
<i>Analytical framework</i>		<i>Policy Content Analysis</i>
WHY TRANSFER?	Want to	Lesson drawing
	Have to	Financial dependence on the United States as a Free Associated State or US commonwealth.
WHO IS INVOLVED?	Local Authorities	Junta de Planificación (Puerto Rico's Planning Board), Governor's Office
	Government agencies	Interagency Commission formed by 16 agencies and public institutions pertinent to the plan
	Community organizations / citizens	Public hearing with 505 participating citizens
	Consultants	External Advisory Committee composed of 10 local experts
	Think Tanks	Does not apply.
	Transnational / international institutions	Does not apply.
	Supranational organizations	Does not apply.
WHAT IS TRANSFERRED?	Urban models	There is literal reference to the plan being inspired by Smart Growth and its 10 guiding principles, the European Landscape Convention, the Latin American Landscape Initiative (LALI), Carta Colombiana del Paisaje.
FROM WHERE?	Internal	Local authorities, government agencies, community organizations, citizens, local experts.
	External	US, Latin America, Europe
TO WHAT DEGREE?	Copying	'Direct and complete transfer'
	Inspiration	'The final outcome does not actually draw upon the original'

Table 9. San Juan's national-level policy content analysis. Document: **No. 8, Appendix C.** *Source:* Own authorship using the study's analytical framework based on Dolowitz & Marsh (2000) and Rose (1991).

Overall, due to the political status of PR, the reasons for policy transfer tend to have a more coercive nature, especially considering the country's financial dependence on the US. San Juan's city-level policy content analysis is characterized by the lack of varied transnational or international organizations directly involved in the development of the policy. This is rooted in the fact that most financing in terms of urban projects and plans comes from different institutions based in the US (Table 4). There are 2 vague references to external urban models:

the principles of sustainable development and the compact city model, setting the degree of transfer as *inspirational* and *emulation*. The actors involved are mainly governmental agencies and local experts. However, after thorough research, it was evident that most of these professionals are educated in the US, partly due to the openness between these nations but also because of the lack of planning-related programs offered locally. Finally, even though it is not explicitly mentioned in the document it is acknowledged that PR is an associate member of the Subregional Action Plan for the Implementation of the New Urban Agenda in the Caribbean.

On the other hand, the national-level policy content analysis revealed a higher degree of direct policy transfer through *copying* and *inspiration*. There's literal reference to the US urban model 'Smart Growth' and its 10 guiding principles. After additional research, it was found that there's an actual law in PR called '*Ley para el Desarrollo Inteligente de la Infraestructura en Puerto Rico*' (Law for the smart growth of infrastructure in PR), approved to foster and facilitate the success of the concept of 'Smart Growth' in PR. Furthermore, one of the experts in the External Advisory Board, adapted the book 'Getting to Smart Growth: 100 Policies for implementation' for the island as '*Getting to Smart Growth: 10 principles and 100 strategies for PR*'. Figure 20 summarizes graphically these key findings.

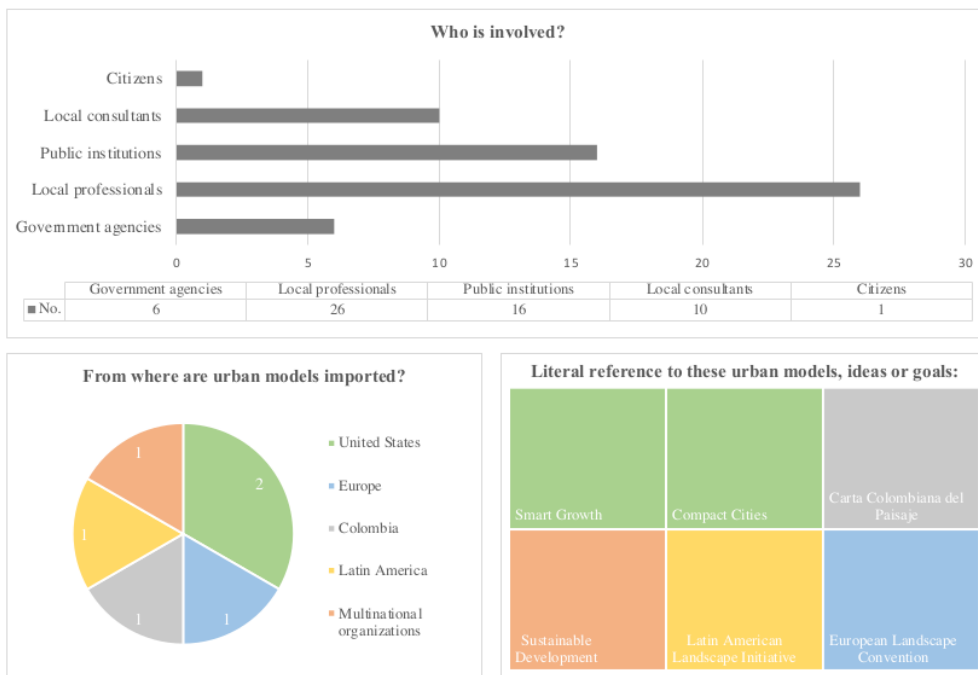


Figure 20. Summary of key findings in terms of external influences to San Juan's planning policies. *Source:* Own authorship.

4.4. Summary of findings

Stone, Porto de Oliveira, and Pal (2020, p. 1) recognize the growing complexity regarding the ‘circulation of policy and knowledge’. This has been demonstrated throughout the study and more specifically in Chapter 4. The research revealed that there’s still both voluntary and coercive transfer of urban policy ideas happening in the HC. Influences from the United States, Europe and Latin America are still strong with an increasing role by international development aid agencies and supranational organizations. A more comprehensive summary of the key findings is presented in Table 10.

Summary of Key Findings					
City	Degree of transfer		Character	Direction	Causation*
Havana, Cuba	Copying		Voluntary	Emulation and inspiration from:	Cuba’s gradual reinsertion in international dynamics after the collapse of USSR and COMECON
	Emulation	Inspiration	Coercion	US, Europe, multinational organizations	
	Hybridization		Mixture		
Santo Domingo, Dominican Republic	Copying		Voluntary	Copying, emulation & inspiration from:	Nature of the political system, aid-dependency, scarcity of local expertise and deficient academic offer
	Emulation	Inspiration	Coercion	US, UK, Brazil, Latin America, multinational organizations, Europe	
	Hybridization		Mixture		
San Juan, Puerto Rico	Copying		Voluntary	Copying and inspiration from:	Nature of the political system, financial dependence from the US, deficient academic offer
	Emulation	Inspiration	Coercion	US, Europe, Colombia, Latin America, multinational organizations	
	Hybridization		Mixture		

Table 10. Summary of key findings. *Source:* Own authorship.

First, overlaps were identified in terms of the urban ideas and models being copied, emulated, or taken as inspiration between the three countries, despite their strong political differences. This supports the previously discussed argument regarding ‘a la carte planning’ and how

similar 'recipes' are being used to address urban issues in diverse political settings (Delgado, 2014). Second, the degree of transfer varies depending on the country and its circumstances. The possible reasons for transfer are presented, but it is recognized that additional elements have a role in these processes. An important observation is that complete transfer is currently happening, the main difference in relation to the 20th century is a gradual shift from 'authoritarian imposition' to 'negotiated imposition' and 'selective borrowing' (Ward, 2000).

Third, although the direction of the transfer is highly varied, little interaction was identified between the 3 countries of the HC, revealing possibilities for collaboration due to their shared history and common issues as Small Island Developing States. Finally, it is evidenced in the policy analysis, that foreign urban models such as 'Smart Growth', 'Tactical Urbanism' and 'Complete Streets' are being circulated around these cities with the risk of them not being suitable at the implementation level in the HC.

Chapter 5. Conclusion

This chapter concludes by revisiting the research aim and objectives in relation to the main findings and possible implications / recommendations for future research.

5.1. Research objectives: Findings and conclusions

The aim was to assess the extent to which contemporary urban planning policies in the three main cities of the HC: Santo Domingo, Havana, and San Juan are being shaped by external influences. This was answered through 5 specific objectives: first, the study of literature regarding policy transfer, diffusion, and circulation in relation to the planning and development histories of SD, Havana, and SJ revealed the complexities of the transnational movement of planning ideas and practices in post-colonial societies.

Second, after summarizing and categorizing the main external influences identified in the 20th century, the frequency of foreign interventions, the power asymmetries, and historical dependence on external planning traditions were revealed. Third, the exploration of both the actors and mechanisms of diffusion disclosed profound deficiencies in the academic offer and production of knowledge in the DR and PR, possibly explaining why out of the three countries, Cuba has a lower degree of policy transfer. In addition, a trend towards aid-dependency was identified, which has complex implications due to the financing guidelines and conditions imposed by international organizations. Fourth, the analysis of contemporary urban planning policy documents at both national and city scale of the three cities exposed the degree, character and direction of policy transfer and circulation processes in the region and its possible causes.

All of this allowed a set of conclusions to be drawn

- a. The need for investment in the planning-related academic offer in the Hispanic Caribbean. While professionals are forced to study abroad, the opportunities for the development of local expertise decreases.
- b. There's a need for a continued study of these complex processes to keep recognizing power asymmetries that could be jeopardizing sustainable urban growth and development in the region.
- c. The scarcity of collaboration between the countries in the Hispanic Caribbean, which could be a useful dynamic to strengthen local expertise.

5.2. Implications and recommendations for future research

This exploratory case study presents an innovative approach, contrary to the ‘tendency towards methodological nationalism in much of the early public policy transfer literature’ (Stone, 2004, 546). Although the limitations of the research were recognized, these findings can still be vital to the development of further policy transfer, diffusion, and circulation studies in which more planning documents are analyzed, ethnographic studies included and primary data in the form of interviews to relevant actors in the planning sector conducted. Further studies can even go as far as studying how the degree of policy transfer influences policy success or failure, an aspect Dolowitz and Marsh (2000) recognize as pending.

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Appendix A

A.1. Key terminology commonly used in policy transfer research across fields. *Source:* Own authorship.

Key terminology in policy transfer research across fields		
<i>Main fields of research</i>	<i>Commonly used terms</i>	<i>Related authors</i>
POLITICAL SCIENCE	Lesson-drawing	Rose, 1991
	Systematically pinching ideas	Schneider & Ingram, 1988
	Policy convergence	Bennett, 1991
	Policy transfer	Dolowitz & Marsh, 1996
COMPARATIVE POLITICS	Policy borrowing	Cox, 1999
	Policy diffusion	Walker, 1969
	Policy circulation	Delpeuch, 2009
	Policy translation	Freeman, 2009
	Political learning	Heclo, 1974
INTERNATIONAL RELATIONS	Policy bandwagoning	Waltz, 1979
	Policy diffusion	Berry & Berry, 1999
	Policy socialization	Sharman, 2008
URBAN GEOGRAPHY / SOCIOLOGY	Policy mobilities	McCann, 2008
	Assemblages, mobilities and mutations approach	Temenos & McCann, 2013
	Hybridization / Hybridity	Peck & Theodore, 2010
	Organizational isomorphism	DiMaggio & Powell, 1983

Appendix B

B.1. Research tools for the study of policy transfer, diffusion, circulation, mobilities. *Source:* Own authorship.

Research tools aimed at studying and classifying processes of policy transfer, diffusion, circulation and mobilities			
<i>Purpose</i>	<i>Description</i>	<i>Author (s)</i>	<i>Basis</i>
(1) For the analysis of policy transfer / diffusion process	<p style="text-align: center;">Conceptual framework</p> <p style="text-align: center;"><i>Organized around 6 questions:</i></p> <p>Why do actors engage in policy transfer? Who are the key actors involved? What is transferred? From where? What restricts or facilitates the process? Impacts on policy success or failure</p>	Dolowitz & Marsh, 2000	‘Placing policy transfer into a broader conceptual framework’ The questions constitute the basis and focus on the ‘need to understand and explain the process of transfer’ (p.7-8)
(2) For the analysis of circulation / mobilities processes	<p style="text-align: center;">Methodology</p> <p style="text-align: center;"><i>Methods for following mobile policies:</i></p> <p>Follow the people Follow the materials Follow the meetings</p>	Wood, 2016	‘Learning as a research method’. ‘Considering the various processes through which policy actors in cities learn’. (p.393)
(3) For the classification of these processes	<p style="text-align: center;">Typology</p> <p style="text-align: center;"><i>Typology of diffusion episodes:</i></p> <p>Authoritarian imposition Contested imposition Negotiated imposition Undiluted borrowing Selective borrowing Synthetic borrowing (innovation)</p>	Ward, 1999	‘The power relationship between the countries originating and receiving planning models’. (p.45)

B.2. Policy Transfer Framework by Dolowitz & Marsh (2000, p.9)

TABLE 1
A Policy Transfer Framework

Why Transfer? Continuum Want To..... Have To			Who Is Involved in Transfer?	What Is Transferred?	From Where			Degrees of Transfer	Constraints on Transfer	How To Demonstrate Policy Transfer	How Transfer leads to Policy Failure
Voluntary	Mixtures	Coercive			Past	Within-a Nation	Cross- National				
Lesson Drawing (Perfect Rationality)	Lesson Drawing (Bounded Rationality)	Direct Imposition	Elected Officials	Policies (Goals) (content) (instruments)	Internal	State Governments	International Organizations	Copying	Policy Complexity (Newspaper) (Magazine) (TV) (Radio)	Media	Uniformed Transfer
	International Pressures		Bureaucrats Civil Servants	Programs	Global	City Governments	Regional State Local Governments	Emulation	Past Policies	Reports	Incomplete Transfer
	(Image) (Consensus) (Perceptions) Externalities	Pressure Groups Political Parties	Institutions			Local Authorities		Mixtures	Structural Institutional Feasibility	Conferences Meetings/ Visits	(Commissioned) (uncommissioned) Inappropriate Transfer
	Conditional (Loans) (Conditions Attached to Business Activity)		Ideologies					Inspiration	(Ideology) (cultural proximity) (technology) (economic) (bureaucratic)	Language	Statements (written) (verbal)
	Obligations	Policy Entrepreneurs/ Experts	Attitudes/ Cultural Values Consultants Think Tanks Transnational Corporations Supranational Institutions	Negative Lessons			Past Relations				

B.3. Typology of diffusion by Ward (1999, p. 44)

Table 3.1 Typology of diffusion.

Type	Indigenous Role	External Role	Typical Mechanisms	Level of Diffusion	Key Actors	Potential for Distinctiveness	Characteristic Examples
Synthetic borrowing	Very high	Very low	Indigenous planning movements plus wide external contacts	Theory and practice	Indigenous	Very high	Major countries of of Western Europe & USA
Selective borrowing	High	Low	External contact with innovative planning traditions	Practice and some theory	Indigenous	High	Smaller countries of Western Europe
Undiluted borrowing	Medium	Medium	Indigenous deference to innovative external planning traditions	Practice with little or no theory	External with some indigenous	Fairly Low	Dominions of British Empire, Japan, & some European examples
Negotiated imposition	Low	High	Dependence on external planning tradition(s)	Practice	External with some indigenous	Low	Aid-dependent countries (e.g. Africa)
Contested imposition	Very low	Very high	High dependence on one external planning tradition	Practice	External	Low	'Enlightened' colonial planning
Authoritarian imposition	None	Total	Total dependence on one external planning tradition	Practice	External	None	Newly subjugated territories

Appendix C

Planning documents to be analysed for the three cities. 1. Refer to the Acronyms page to better understand the table. 2. Documents highlighted are the ones to be analyzed in depth. *Source:* Own authorship.

Location	Plan / Document	Year	Author	Language	Pages	Local affiliations	Global affiliations
Santo Domingo, Dominican Republic	<i>1- Strategic level:</i> Estrategia Nacional de Desarrollo (National Development Strategy)	2012	MEPYD	Spanish	94	Consejo Nacional para la Reforma del Estado (CONARE)	ECLAC, World Bank, IADB, UNDP, Instituto de Desarrollo de Corea (Development Institute of Korea), external consultants.
	<i>2- National level:</i> Plan Nacional de Ordenamiento Territorial 2030 (National Spatial Planning Policy 2030)	2015	MEPYD	Spanish	139	MIMARENA, DGODT, CNCCMDL, CAP Consulting group	SICA, UN, SDG's, USAID, TNC, UNDP
	<i>3- City level:</i> Plan de Ordenamiento Territorial Capital 2030 (Territorial Ordering Plan for the Capital of the DR 2030)	2019	ADN	Spanish	258	ADN, INTEC, local technicians, FEDOMU, DGODT	ICMA/USAID, IDDI, City of Austin, UNDP, Bloomberg Philantropies, ICF International
Havana, Cuba	<i>4- Strategic level:</i> Plan Nacional de Desarrollo Económico y Social 2030 de Cuba (National Plan for the Economic and Social Development of Cuba 2030)	2014-Ongoing	MEP	Spanish	48	MEP, Congreso del Partido Comunista de Cuba (PCC)	UNDP, SDG's, NUA, PAN, ONU HABITAT
	<i>5- National level:</i> Esquema Nacional de Ordenamiento Territorial 2030 (National Spatial Planning Scheme 2030)	2014	IPF	Spanish	25	IPF, Asamblea Nacional de Poder Popular, Consejo de la Administración Municipal, Consejos de la Administración Provincial	N/A

	6- City level: Plan General de Ordenamiento Urbano La Habana al 2030 (Territorial Ordering Plan for Havana 2030)	2017	IPF	Spanish	121	Consejo de la Administración Provincial de La Habana, IPF, Dirección de Planificación Física	N/A
San Juan, Puerto Rico	7- Strategic level: Plan de Desarrollo Económico y Transformación de Gobierno para Puerto Rico. (Economic Development and Transformation Plan for Puerto Rico)	2006	Oficina del Gobernador (Governor's Office)	Spanish	71	Oficina del Gobernador (Governor's Office), H. Calero Consulting Firm	A.T Kearney, United States
	8- National level: Plan de Uso de Terrenos de Puerto Rico. Guías de Ordenación del Territorio. (Land Use Plan for PR. Guide for Territorial Ordering)	2015	JP (Planning Board), Oficina del Gobernador (Governor's Office)	Spanish	220	JP (Puerto Rico's Planning Board), local organizations, community groups and academic institutions	US
	9- City level: Plan de Ordenación Territorial de San Juan (Territorial Ordering Plan for San Juan)	2003	Municipio de San Juan (San Juan Municipality) Departamento de Urbanismo (Urbanism Department), JP (Planning Board)	Spanish	376	Municipio de San Juan (San Juan Municipality), Departamento de Urbanismo (Urbanism Department), external consultants	US

Appendix D

D.1 [CUBA] Complementary Desk Research additional information

Urban Planning, Urban Design and Territorial Ordering related academic programs available					
CITY	INSTITUTION	FACULTY	TYPE	PROGRAM	SOURCE
La Habana	Universidad de La Habana	Facultad de Geografía	Maestría	Geografía, Medio Ambiente y Ordenamiento Territorial	https://geo.uh.cu/docencia/posgrado/
La Habana	Universidad de La Habana	Facultad de Geografía	Especialidad	Ordenamiento Territorial	https://geo.uh.cu/docencia/posgrado/
La Habana	Universidad de La Habana	Facultad de Geografía	Doctorado	Geografía, Medio Ambiente y Ordenamiento Territorial	https://geo.uh.cu/docencia/posgrado/
La Habana	CUJAE - Universidad Tecnológica de La Habana José Antonio Echeverría	Instituto Nacional de Ordenamiento Territorial y Urbanismo	Maestría	Ordenamiento Territorial y Urbanismo	https://www.ipf.gob.cu/es/content/plan-de-estudio-de-la-maestr%C3%A9n-ordenamiento-territorial-y-urbano
La Habana	CUJAE - Universidad Tecnológica de La Habana José Antonio Echeverría	Facultad de Arquitectura	Pregrado	Arquitectura y Urbanismo	https://cujae.edu.cu/estudio/facultades/arquitectura
La Habana	Ministerio de Educación	Politécnicos a nivel nacional	Técnico	Técnico medio en Planificación Física	https://www.ipf.gob.cu/es/content/plan-de-estudio-de-especialidad-de-t%C3%A9cnico-de-nivel-medio-en-planificaci%C3%B3n-f%C3%ADsica
Camagüey	Universidad de Camagüey Ignacio Agramonte Loynaz	Facultad de Construcciones	Pregrado	Arquitectura y Urbanismo	https://www.reduc.edu.cu/carreras/#page-content
Santa Clara	Universidad Central Marta Abreu de Las Villas	Facultad de Construcciones	Pregrado	Arquitectura y Urbanismo	https://www.uclv.edu.cu/carrera-pregrado/arquitectura-y-urbanismo/

Cienfuegos	Universidad de Cienfuegos "Carlos Rafael Rodríguez"	Universidad de Cienfuegos "Carlos Rafael Rodríguez"	Maestría	Manejo Integrado de Zonas Costeras	https://www.ucf.edu.cu/?page_id=2148
Cienfuegos	Universidad de Cienfuegos "Carlos Rafael Rodríguez"	Universidad de Cienfuegos "Carlos Rafael Rodríguez"	Doctorado	Desarrollo Local y Territorial	https://www.ucf.edu.cu/?page_id=6186
Holguín	Universidad de Holguín Oscar Lucero Moya	Universidad de Holguín Oscar Lucero Moya	Especialidad	Desarrollo Local	https://www.uho.edu.cu/especialidades/
Matanzas	Universidad de Matanzas Camilo Cienfuegos	Universidad de Matanzas Camilo Cienfuegos	Diplomado	Gestión sostenible del desarrollo local en municipios de la provincia de Matanzas. Por un enfoque participativo e innovador.	http://www.umc.cu/diplomados/
Pinar del Río	Universidad Pinar del Río Hermanos Saiz Montes de Oca	Universidad Pinar del Río	Maestría	Desarrollo Local	https://www.upr.edu.cu/teaching/postgraduate
Santiago de Cuba	Universidad de Oriente Santiago de Cuba	Facultad de Construcciones	Pregrado	Arquitectura y Urbanismo	https://www.uo.edu.cu/estudios/pregrado/carreras/

D.2 [DOMINICAN REPUBLIC] Complementary Desk Research additional information

Urban Planning, Urban Design and Territorial Ordering related academic programs available					
CITY	INSTITUTION	FACULTY	TYPE	PROGRAM	SOURCE
Santo Domingo	Universidad Autónoma de Santo Domingo	Instituto de Urbanismo de la Facultad de Arquitectura e Ingeniería	Maestría	Maestría en Diseño Urbano, Ordenamiento y Planificación Territorial	https://uasd.edu.do/files/catalogo_oferta_academica_2019.pdf
Santiago	Pontificia Universidad Católica Madre y Maestra	Ciencias e Ingeniería	Maestría	Maestría en Gestión Ambiental concentración Planificación Territorial Urbana	https://www.pucmm.edu.do/postgrado/Documentos/Brochure%20Planificaci%c3%b3n%20Territorial%20Urbana.pdf
Santo Domingo	Universidad del Caribe	Universidad del Caribe	Maestría	Gestión Municipal	https://unicaribe.edu.do/maestria/gestion-municipal/

D.3 [PUERTO RICO] Complementary Desk Research additional information

Urban Planning, Urban Design and Territorial Ordering related post-graduate programs or specialties available					
CITY	INSTITUTION	FACULTY	TYPE	PROGRAM	SOURCE
San Juan	Universidad de Puerto Rico Recinto Río Piedras	Escuela Graduada de Planificación	Maestría	Maestría en Planificación	http://graduados.uprrp.edu/images/academic-affairs/catalogo/catalogo-2019-2020/escuela-grad-planificacion/degi-planificacion-mpl.pdf
NOTES	<p>Most of the faculty graduated in universities across the united states. Planning Accreditation Board of the American Institute of Certified Planners and the Association of Collegiate Schools of Planning. <i>'It is the only program in Puerto Rico that offers a program of study leading to a Master in Planning, with a specialization in four areas: Urban and Territorial, Society and Environment and in Economic Development and Community. We are also affiliated with the American Planning Association.'</i> - Retrieved from: http://planificacion.uprrp.edu/</p>				

Appendix E

Main organizations providing financial aid in the HC.

Main organizations providing financial aid in the HC			
<i>Country</i>	<i>Organization</i>	<i>Type</i>	<i>Origin</i>
CUBA	UNHABITAT	Intergovernmental organization	United Nations
	The Swiss Agency for Development and Cooperation	International cooperation agency	Switzerland
	Junta de Andalucía	International cooperation program	Spain
DOMINICAN REPUBLIC	CAF Development Bank of Latin America	Financial organization	Caracas, Venezuela
	Inter-American Development Bank	Financial organization	Washington, United States
	Global Facility for Disaster Reduction and Recovery (GFDRR), World Bank	Global partnership	Washington, United States
	Agencia Francesa de Desarrollo (French Development Agency)	Public financial organization	France
	European Union	International organization	Europe
	United Nations Development Programme (UNDP)	Development aid agency	United Nations
	International Finance Corporation, World Bank	Financial organization	Washington, United States
PUERTO RICO	Community Development Block Grant Disaster Recovery (CDBG-DR)	Grant-based program	United States
	United States Department of Housing and Urban Development	Department of the US Government	United States
	US Department of Agriculture (USDA)	Department of the US Government	United States
	Federal Emergency Management Agency (FEMA)	Federal Agency of the US	United States

Source: Own authorship based on desk research, information provided by the ECLAC (2021) and the organizations' websites regarding active funding and projects

Appendix F

F.1. Working template for the policy content analysis process.

CITY / COUNTRY		
-National / City level policy-		
<i>General information</i>		
Vision		
Core themes		
Objectives		
Definition of the policy		
Functions of the policy		
Time frame		
Diagnosis		
Policy guidelines		
Key words and phrases		
<i>Analytical framework</i>		<i>Policy Content Analysis</i>
WHY TRANSFER?	Want to (Voluntary)	
	Have to (Coercive)	
WHO IS INVOLVED?	Elected officials / local authorities	
	International consultants	
	Community organizations	
	Academic institutions	
	Think Tanks	
	Transnational / international institutions	
	Supranational organizations	
WHAT IS TRANSFERRED?	Policies	
	Goals	
	Content	
	Programs	
	Instruments / urban models	
FROM WHERE?	Internal	
	External	
TO WHAT DEGREE?	Copying	
	Emulation	
	Hybridization	
	Inspiration	

F.2. Sample of the Dominican Republic's working template for the policy content analysis.

SANTO DOMINGO, REPÚBLICA DOMINICANA
Plan de Ordenamiento Territorial Capital 2030

Datos generales

Visión del país La nueva visión de país definida en la Estrategia Nacional de Desarrollo: 'República Dominicana es un país próspero, donde las personas viven dignamente, apegadas a valores éticos y en el marco de una democracia participativa que garantiza el Estado social y democrático de derecho y promueve la equidad, la igualdad de oportunidades, la justicia social, que gestiona y aprovecha sus recursos para desarrollarse de forma innovadora, sostenible y territorialmente equilibrada e integrada y se inserta competitiuamente en la economía global'

Visión de la ciudad Santo Domingo crece con visión. Santo Domingo, capital y centro económico del país, se relaciona de forma activa con su área metropolitana. Promueve el bienestar de quienes la habitan y visitan, mediante el uso sostenible y compatible del territorio, fomentando inversiones que incrementan su resiliencia.

Planes 1. Generación de Proyectos de Infraestructura Urbana 2. Coordinación interinstitucional 3. Un Pacto Social y participación ciudadana 4. Educación ciudadana y cultura urbana

Ejes estratégicos CIUDAD COMPACTA, CIUDAD SOSTENIBLE, CIUDAD EQUITATIVA, CIUDAD RESILIENTE, CIUDAD VIVIBLE, CIUDAD EMPRENDEDORA

Marco Estratégico Punto de partida: Estrategia Nacional de Desarrollo (Escala Nacional), Plan Estratégico del Distrito Nacional (Escala Local), la Nueva Agenda Urbana (Escala Internacional), de cara a alcanzar los Objetivos de Desarrollo Sostenible (ODS), particularmente el objetivo 11 y 13 (Escala Internacional). Se toma en cuenta el Plan de Acción Regional, que localiza y adapta la NAO a la realidad y condiciones de América Latina y el Caribe. El POT en su concepción más general cumple con los fundamentos de la Estrategia Nacional de Desarrollo 2030, el Plan Estratégico del Distrito Nacional y la Nueva Agenda Urbana.

Objetivos 1. Lograr un sistema de ciudad concentrado, articulado y autosustentable económicamente, en términos esenciales. 2. Alcanzar una mejor calidad de vida para todos los habitantes de la ciudad 3. Lograr un crecimiento armónico e integral del Distrito Nacional 4. Normar la localización de las actividades urbanas y la localización de las actuaciones urbanísticas ETC pag. 16

Definición de planificación La planificación urbana. Herramienta técnica propia de la actividad gerencial de los gobiernos locales. Objeto de ordenamiento jurídico. Representa del tro del proceso de la Ordenación del Territorio, la oportunidad para racionalizar decisiones con trascendencia espacial y ordenar prorsionamente conductas y relaciones funcionales, sobre bases geográficas y espaciales, teniendo en cuenta los recursos existentes y la mejor satisfacción de las necesidades humanas.

Funciones del POT El Plan de Ordenamiento Territorial, POT CAPITAL 2030, es un instrumento de planificación vinculante que tiene dos funciones fundamentales: 1. ser un documento institucional que establece la dirección de la inversión pública para promover el desarrollo en el territorio a través de programas y proyectos que puedan ser medibles en el cumplimiento de sus lineamientos y objetivos y que puedan programarse en el plan de inversión pública institucional. 2. define los lineamientos generales en la organización de los diversos usos de suelo en todo el territorio y establece los parámetros para la elaboración de planes urbanos. Es el instrumento jurídico que representa la concreción espacial urbana de la Estrategia Nacional de Desarrollo (END) y que establece los lineamientos de desarrollo urbano, que permiten garantizar los intereses generales de la comunidad y del Estado en las ciudades, proporcionando la estructura espacial necesaria para el logro de una mejor calidad de vida. 15 La visión más contemporánea del urbanismo para la ciudad. p.143

Definición del POT El POT es el instrumento técnico-político que define los lineamientos generales de organización de un territorio con relación a su rol dentro del contexto regional, al uso de suelo y ocupación del territorio, la localización de equipamientos de cobertura municipal, provincial y regional, la gestión integral de riesgos, los equilibrios territoriales, la adecuada distribución de la infraestructura y servicios básicos, y la protección y/o mejoramiento del medio ambiente y los recursos naturales.

Ordenamiento del Territorio Tomando en cuenta: 1a. Potencialidades y limitaciones del emplazamiento ante las presentes y futuras condiciones climáticas 2. las capacidades, expectativas y aspiraciones de la población 3. Objetivos de desarrollo para incrementar la calidad de vida.

Horizonte temporal y escalas 12 años / Nivel local, aspectos regionales y metropolitanos.

Problemáticas identificadas / Diagnóstico 1. Potencialidad del suelo. Aumento de la superficie construida y reducción de la superficie natural y de vocación agrícola. 2. Sostenibilidad ambiental. 1.48 m2 de suelo natural por habitante, por debajo del nivel óptimo. Contaminación de cañadas, arroyos y ríos debido a asentamientos humanos informales e inexistencia de un sistema de recolección de residuos. Usos y ytas no compatibles con el Parque Utror Sur. 3. Vulnerabilidad social. Desigualdades en cuanto a densidad, pobreza, calidad de vida y necesidad de asistencia por parte de los entes gubernamentales. Población total que vive en tugurios: 413,429 habitantes. 4. Vulnerabilidad territorial. La República Dominicana está entre los 10 países más vulnerables en términos de impacto asociado al cambio climático: Sequía, incremento de temperatura, la subida del nivel del mar y la salinización de las capas freáticas, los ciclones tropicales, inundaciones, entre otros. 5. Concentración territorial. centralidades en desequilibrio y complejidad. 6. Conectividad territorial. Congestión vehicular, deficiente oferta de transporte colectivo, falta de estacionamientos. 7. Confortabilidad territorial. Asentamientos informales o tugurios en todas las circunscripciones, hacinamiento, concentración de pobreza, desigualdad socioeconómica, deficiencia del servicio de alcantarillado sanitario.

Lineamientos El POT se estructura a través de 6 lineamientos que direccionan los objetivos, planes, programas y proyectos, hacia el cumplimiento del modelo de ciudad propuesto. Lineamiento 1. Centralidad metropolitana y regional. Lineamiento 2. Sostenibilidad ambiental y resiliencia para la adaptación climática. Lineamiento 3. Consolidación urbana mediante procesos de planificación de infraestructuras y servicios. Lineamiento 4. Movilidad urbana sostenible. Promover la integración intermodal (Metro, autobuses rápidos BRT, teleférico, ciclo rutas). Lineamiento 5. Articulación y coordinación interinstitucional. Lineamiento 6. Seguimiento a las dinámicas de la ciudad. Generar información y análisis acerca de la ciudad y su área metropolitana.

Modelo de Ciudad COMPACTA: Usos mixtos, movilidad densa. Una ciudad que favorezca el uso mixto, espacios públicos de calidad, transporte público colectivo. SOSTENIBLE: Infraestructura verde, reasentamiento zonas vulnerables, recuperación ríos y cañadas, movilidad no motorizada. Ciudad que valora y promueve su infraestructura verde, resguarda sus recursos naturales, integrándolos al proceso de desarrollo. EQUITATIVA: Identidad cultural, inclusivo, espacios públicos, equipamientos, accesible, asequible. Promueve la identidad cultural de sus barrios y la vida urbana, inclusiva, accesible y asequible. RESILIENTE: Adaptación climática, respuesta rápida, gestión de riesgos. Conoce los riesgos humanos, sociales y medioambientales. Es capaz de resistir y de recuperarse rápidamente. VIVIBLE: Limpia, segura, ordenada, amigable con el peatón y los ciclistas, caminable. Promueve la calidad de sus espacios públicos y la importancia del peatón, equipamientos de alta calidad, usos compatibles y amigables urbanos, crecimiento ordenado y sostenible. EMPRENDEDORA: Desarrollo económico local, formación, empleo, emprendimientos. Genera empleos de calidad en diversas áreas de la economía, promueve y fortalece el emprendimiento en diferentes escalas y genera alianzas para la formación de sus ciudadanos.

Tratamientos urbanísticos Los tratamientos urbanísticos son las decisiones de ordenamiento que permiten orientar diferencialmente la forma de intervenir el territorio, con miras a lograr los objetivos globales de desarrollo definidos para el territorio del Distrito Nacional. El POT Capital plantea siete tratamientos urbanísticos distintos que responden a la caracterización de cada zona homogénea de la ciudad. 1. CONSERVACIÓN. Zonas de valor patrimonial, requieren de Planes Especiales. 2. CONSOLIDACIÓN. Áreas con posibilidad de transformación de estructuras urbanas ya desarrolladas. 3. RENOVACIÓN. Transformación de zonas desarrolladas de la ciudad que tienen condiciones de subutilización o deterioro. 4. MEJORAMIENTO INTEGRAL. Mejora integral de los asentamientos humanos de origen informal, de manera que pueda lograrse su integración a la estructura de la ciudad a través de la dotación y mejora de los servicios. 5. REASENTAMIENTO. Zonas de alto riesgo no mitigable, suelo no urbanizable. 6. REDESARROLLO. Orienta y regula los procesos de reurbanización de los terrenos o conjuntos urbanizados cuyo mínimo al tejido urbano requiere de una visión de conjunto a través de planes especiales. 7. DESARROLLO. Orienta y regula la urbanización del suelo urbanizable.

Words and phrases

Key words Compacta, sostenible, equitativa, resiliente, viable, emprendedora / ordenada, equilibrada, prosperidad, objetivos de desarrollo

Términos utilizados Accesibilidad, Aceras, Áreas o suelos de cesión, áreas verdes, arbolado, calificación del suelo, Calles Completas, Calles de prioridad peatonal, clasificación del suelo, centralidades, Compacidad urbana, conectividad, Densidad urbana, espacio público, metabolismo urbano, Frente mínimo edificable, Frente mínimo edificable, habitabilidad, incentivos, índice de construcción o edificabilidad, índice de ocupación, infraestructura verde, instrumentos de planificación, movilidad sostenible, niveles y alturas, parcelación, patrimonio cultural, peatón, porcentaje de permeabilidad, red vital, arteriales principales, arteriales menores, calles colectoras, calles locales, resiliencia, servicios ambientales, tránsito, urbanismo táctico, urbanización, usos del suelo, usos preferentes, usos compatibles, usos condicionados, usos prohibidos, vías para bicicletas o ciclovías, vías peatonales, vías de valor paisajístico o panorámicas, zonas homogéneas, zonas de uso preferente, zonas de uso especial, diseño universal, población informal.

Foreign ideas mentioned and implemented

Name	Origin
Bus Rapid Transit	Curitiba, Brasil (1974)
Desarrollo Orientado al Transporte	Peter Calixtope, United States (1980's-1990's)
Nueva Agenda Urbana	United Nations Conference on Housing and Sustainable Urban Development (Habitat III) in Quito, Ecuador (2016)
Objetivos de Desarrollo Sostenible	United Nations Conference on Sustainable Development in Rio de Janeiro (2012)
Plan de Acción Regional para la implementación de la Nueva Agenda Urbana	ECLAC (The United Nations Economic Commission for Latin America and the Caribbean) (2018)
Calles completas (Complete Streets) - Global Streets Design Guide, NACTO	Transportation policy and design approach. United States (2003)
Urbanismo táctico (Tactical urbanism)	Inspired in urban experiments from Colombia and Paris. Formally emerged in United States after a New Urbanism meeting in 2010.

Ciudades compactas (Compact Cities)	United States
Plan de Estacionamientos urbanos (Park and Ride)	United Kingdom (1960's)
Parklets	San Francisco, United States (2005)
Uso de pavimentación permeable	
Zanjas de infiltración (bioswales)	
Sistemas de drenaje sostenible	
Marco conceptual del POT	Basado en la Guía Metodológica para la formulación del plan municipal de ordenamiento territorial - MEPYD, DGOOT, PNUMA, PNUO.
Referencias	Estrategia Nacional de Desarrollo, Nueva Agenda Urbana, Plan Estratégico del Distrito Nacional
Lineamientos y objetivos	Alineados y referenciados a los compromisos de la Nueva Agenda Urbana
Instrumentos de planificación	
Plan General Urbano (PGU)	General Urban Plan
Plan de Movilidad Urbana (PMU)	Urban Mobility Plan (Mobility Pyramid, Manual de calles, diseño vial para ciudades mexicanas, Mexico and IADB)
Plan de Infraestructura Verde y Espacios abiertos de uso público (PIVEA)	Green Infrastructure and Public Open Spaces Plan
Plan de Infraestructura Básica	Basic Infrastructure Plan
Plan de Infraestructura Vial	Street Infrastructure Plan
Plan de Adaptación Climática	Climate Adaptation Plan
Plan de Gestión de Riesgos	Risk Management Plan
Plan Parcial (PP)	Partial Plan
Plan Integral de Mejoramiento Barrial (PIMB)	Neighborhood Enhancement Plan
Plan Especial (PE)	Special Plan
Unidades de Actuación Urbanística (UAU)	Urban Action Unit
Financiamiento	
ADN, public-private associations, international organizations, private sector,	
Actores	
Name	Origin / Studies
Ayuntamiento del Distrito Nacional: Alcalde, Vicealcaldesa, Secretaría General y Secretaría Técnica Director de Planeamiento Urbano Asesores ADN Equipo de Coordinación Equipo Técnico Departamento de Planes y Normas Información y Gestión Ambiental Participación Ciudadana y Socialización, Director: Venancio Alcántara ICMA - Programa de Planificación para la Adaptación Climática (International City/County Management Association) ICF International FEDCOMU (Federación Dominicana de Municipios) DGOOT (Dirección General de Ordenamiento y Desarrollo Territorial)	Dominican Republic, United States, Spain Dominican Republic Dominican Republic, United States, Mexico Dominican Republic, Spain Dominican Republic, United States, Japan, Spain Dominican Republic, Spain Dominican Republic Dominican Republic Dominican Republic, United States United States Dominican Republic, Spain Dominican Republic
Instituciones, organizaciones e individuos participantes en el proceso de formulación del Plan	
Instituciones coordinadoras del proceso	2 local institutions / 3 international institutions
Instituciones públicas	28 local institutions
Ayuntamientos y organizaciones municipales	6 local institutions
Organizaciones sociales y comunitarias	15 local institutions / 1 international institution
Entidades internacionales	American Planning Association (APA), City of Austin (Austin, Texas local government), USFS (United States Forest Service), CUNY (City College New York)
Actores económicos	7 local institutions
Asociaciones profesionales y grupos especializados	2 local institutions / 3 international institutions
Academias y universidades	INTEC, PUCMM, CEUR/PUCMM, UASD, UNPHU, UNIBE
Apéndice	
Anexo 2. Compromisos de la nueva agenda urbana vinculados al Plan de Ordenamiento Territorial	Nueva Agenda Urbana: 25,31, 32, 33, 37, 41, 46, 47, 48, 50, 52, 54, 63, 64, 67, 77, 80, 96, 97, 98, 106, 108, 114, 115, 119
Anexo 4. Técnicas de Urbanismo Táctico	Cuando una zona de la ciudad no cuente con el mínimo de requerido de espacios abiertos de uso público, se utilizarán técnicas de urbanismo táctico para acondicionar espacios existentes. Calles Abiertas, Calles para jugar, Mejoramiento de manzanas, Día parque, comercio minorista 'pop-up', pavimento a plazas, parklets, cafés pop-up, despavimento, bombardeo de sillas, carros de comida o 'foodtrucks', pre-revitalización de sitios, estacionamiento informal para bicicletas, reparación de intersecciones, parque móvil, micro-mezclas
Policy transfer	
	Want to: Lesson drawing
Why transfer?	Have to: International pressures, conditionality and obligations. The Dominican Republic has ratification status with the Paris Agreement and the Kyoto Protocol. It is part of the International Monetary Fund, with outstanding purchases and loans of almost 500 million dollars and it has various financial agreements with the World Bank. According to the United Nations the DR is listed as partner or lead entity of various partnership initiatives and voluntary commitments related to the Sustainable Development Goals with local partners such as the National District City Council and the Ministry of the Environment and Natural Resources. Elected Officials / Bureaucrats: Dirección de Planeamiento Urbano del Ayuntamiento del Distrito Nacional (DPU-ADN), Ministerio de Economía, Planificación y Desarrollo (MEPYD) and more than 35 supporting public institutions. Civil servants / Community groups and institutions
	Consultants: ICF International
Who is involved?	Think Tanks: Local think tanks composed of influential architecture and planning experts. Transnational / International institutions: USAID (United States Agency for International Development), ICMA (International City/Council Management Association / Origin: United States and Canada), APA (American Planning Association), City of Austin (Austin City Council), USFS (United States Forest Service), CUNY (City College New York), ICOMOS (International Council on Monuments and Sites), F18 360 (non-profit organization based on North Carolina), FEWP (Fundación Erwin Walter Palm), IADB (Inter-American Development Bank), PNUD (United Nations Development Programme), Bloomberg Philanthropies. Supranational organizations: United Nations, World Bank, International Monetary Fund, European Union.
What is transferred?	Goals: New Urban Agenda (Reference to specific articles 25,31, 32, 33, 37, 41, 46, 47, 48, 50, 52, 54, 63, 64, 67, 77, 80, 96, 97, 98, 106, 108, 114, 115, 119), Sustainable Development Goals (Mainly goal 11 related to sustainable cities and communities) Instruments / Urban models: Bus Rapid Transit, Transit Oriented Development, Complete Streets, Tactical Urbanism, Compact Cities, Park and Ride, Parklets, Sustainable Drainage Systems. Internal: City council and its Urban Planning Department, 35 local authorities and public institutions, local experts and consultants, more than 280 social and community organizations, 2 local professional associations and specialized groups, 6 local universities, local reports and studies from different ministries, local economic institutions.
From where?	Global: Urban ideologies and models from other countries (United States, United Kingdom, Latin America and the Caribbean), international agreements such as the UN 2030 Agenda, New Urban Agenda and the Sustainable Development Goals (United Nations)
Degree?	COPYING: Direct and complete transfer EMULATION: Transfer of the ideas behind a policy or program

Appendix G

Ethical Clearance Questionnaire

It is important for you to include all relevant information about your research in this form, so that your supervisor can give you the best advice on how to proceed with your research.

You are advised to read though the relevant sections of [UCL's Research Integrity guidance](#) to learn more about your ethical obligations.

Submission Details

1. Name of programme of study:

MSc. Urban Design and City Planning

2. Please indicate the type of research work you are doing (Delete that which do not apply):

- Dissertation in Planning (MSc)

3. Please provide the current working title of your research:

A comparative analysis of urban morphology in the Hispanic Caribbean: A path towards context-specific policy, planning strategies and design.

Final title - Cities and development in the Hispanic Caribbean: A comparative case study of external influences on urban planning policies in Santo Domingo, Havana, and San Juan.

4. Please indicate your supervisor's name:

Stephen Marshall

Research Details

5. Please indicate here which data collection methods you expect to use. (Tick all that apply/or delete those which do not apply.)

- Documentary analysis (including use of personal records)
- Systematic review
- Secondary data analysis

6. Please indicate where your research will take place (delete that which does not apply):

- Overseas only

7. Does your project involve the recruitment of participants?

'Participants' means human participants and their data (including sensor/locational data and observational notes/images.) NO

Appropriate Safeguard, Data Storage and Security

8. Will your research involve the collection and/or use of personal data?

Personal data is data which relates to a living individual who can be identified from that data or from the data and other information that is either currently held, or will be held by the data controller (you, as the researcher).

This includes:

- Any expression of opinion about the individual and any intentions of the data controller or any other person toward the individual.
- Sensor, location or visual data which may reveal information that enables the identification of a face, address etc. (some postcodes cover only one property).
- Combinations of data which may reveal identifiable data, such as names, email/postal addresses, date of birth, ethnicity, descriptions of health diagnosis or conditions, computer IP address (of relating to a device with a single user).

NO

9. Is your research using or collecting:

- special category data as defined by the General Data Protection Regulation*, and/or data which might be considered sensitive in some countries, cultures or contexts?
*Examples of special category data are data:
 - which reveals racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership;
 - concerning health (the physical or mental health of a person, including the provision of health care services);
 - concerning sex life or sexual orientation;
 - genetic or biometric data processed to uniquely identify a natural person.

NO

10. Do you confirm that all personal data will be stored and processed in compliance with the General Data Protection Regulation (GDPR 2018)? (Choose one only, delete that which does not apply)


- I will not be working with any personal data

11. I confirm that:

- The information in this form is accurate to the best of my knowledge.
- I will continue to reflect on and update these ethical considerations in consultation with my supervisor. YES

Appendix H

Risk Assessment Form

RISK ASSESSMENT FORM FIELD / LOCATION WORK	
<p>DEPARTMENT/SECTION: Bartlett School of Planning LOCATION(S): London, United Kingdom PERSONS COVERED BY THE RISK ASSESSMENT: Virna E. Castillo Reyes</p> <p>BRIEF DESCRIPTION OF FIELDWORK (including geographic location):</p> <p>I'm not conducting any fieldwork. Nevertheless, my research is based on the Caribbean.</p> <p>City and country I'll be in during the dissertation research process: London, United Kingdom *Programmed trips: Santo Domingo, Dominican Republic Date: 15 July 2021 – 26 July 2021</p> <p><i>*An additional hazard section and its appropriate control measures were included in relation to this trip in the form below.</i></p> <p>COVID-19 RELATED GENERIC RISK ASSESSMENT STATEMENT:</p> <p>Coronavirus disease (COVID-19) is an infectious disease caused by coronavirus SARS-CoV-2. The virus spreads primarily through droplets of saliva or discharge from the nose when an infected person coughs or sneezes. Droplets fall on people in the vicinity and can be directly inhaled or picked up on the hands and transferred when someone touches their face. This risk assessment documents key risks associated fieldwork during a pandemic, but it is not exhaustive and will not be able to cover all known risks, globally. This assessment outlines principles adopted by UCL at an institutional level and it is necessarily general. Please use the open text box 'Other' to indicate any contingent risk factors and control measures you might encounter during the course of your dissertation research and writing. Please refer to page 26-33 of your Dissertation in Planning Guidance Document (available on Moodle) to help you complete this form.</p>	

Hazard 1: Risk of Covid -19 infection during research related travel and research related interactions with others (when face-to-face is possible and/or unavoidable)

Risk Level - Medium /Moderate

Existing Control Measures: Do not travel if you are unwell, particularly if you have COVID-19 symptoms. Self-isolate in line with NHS (or country-specific) guidance. Avoid travelling and face-to-face interactions; if you need to travel and meet with others:

- If possible, avoid using public transport and cycle or walk instead.
- If you need to use public transport travel in off-peak times and follow transport provider's and governmental guidelines.
- Maintain (2 metre) social distancing where possible and where 2 metre social distancing is not achievable, wear face covering.
- Wear face covering at all times in enclosed or indoor spaces.
- Use hand sanitiser prior to and after journey.
- Avoid consuming food or drinks, if possible, during journey.
- Avoid, if possible, interchanges when travelling - choose direct route.
- Face away from other persons. If you have to face a person ensure that the duration is as short as possible.
- Do not share any items i.e. stationary, tablets, laptops etc. If items need to be shared use disinfectant wipes to disinfect items prior to and after sharing.
- If meeting in a group for research purposes ensure you are following current country specific guidance on face-to-face meetings (i.e rule of 6 etc.)
- If and when possible meet outside and when not possible meet in venues with good ventilation (e.g. open a window)
- If you feel unwell during or after a meeting with others, inform others you have interacted with, self-isolate and get tested for Covid-19
- Avoid high noise areas as this mean the need to shout which increases risk of aerosol transmission of the virus.
- Follow one way circulation systems, if in place. Make sure to check before you visit a building.

- Always read and follow the visitors policy for the organisation you will be visiting.
- Flush toilets with toilet lid closed.
- 'Other' Control Measures you will take (specify):

NOTE: The hazards and existing control measures above pertain to Covid-19 infection risks only. More generalised health and safety risk may exist due to remote field work activities and these are outlined in your Dissertation in Planning Guidance document. Please consider these as possible 'risk' factors in completing the remainder of this standard form. For more information also see: [Guidance Framework for Fieldwork in Taught and MRes Programmes, 2020-21](#)

Consider, in turn, each hazard (white on black). If **NO** hazard exists select **NO** and move to next hazard section.
If a hazard does exist select **YES** and assess the risks that could arise from that hazard in the risk assessment box.

Where risks are identified that are not adequately controlled they must be brought to the attention of your Departmental Management who should put temporary control measures in place or stop the work. Detail such risks in the final section.

ENVIRONMENT	The environment always represents a safety hazard. Use space below to identify and assess any risks associated with this hazard
--------------------	--

<i>e.g. location, climate, terrain, neighbourhood, in outside organizations, pollution, animals.</i>	Examples of risk: adverse weather, illness, hypothermia, assault, getting lost. Is the risk high / medium / low? Low.
--	--

CONTROL MEASURES	Indicate which procedures are in place to control the identified risk
-------------------------	--

	work abroad incorporates Foreign Office advice
--	--

	only accredited centres are used for rural field work
	participants will wear appropriate clothing and footwear for the specified environment
	refuge is available
	work in outside organisations is subject to their having satisfactory H&S procedures in place
	OTHER CONTROL MEASURES: please specify any other control measures you have implemented:
EMERGENCIES	Where emergencies may arise use space below to identify and assess any risks
<i>e.g. fire, accidents</i>	Examples of risk: loss of property, loss of life
NO	
CONTROL MEASURES	Indicate which procedures are in place to control the identified risk
	participants have registered with LOCATE at http://www.fco.gov.uk/en/travel-and-living-abroad/
	contact numbers for emergency services are known to all participants
	participants have means of contacting emergency services
	a plan for rescue has been formulated, all parties understand the procedure
	the plan for rescue /emergency has a reciprocal element
	OTHER CONTROL MEASURES: please specify any other control measures you have implemented:
FIELDWORK	1
	May 2010

EQUIPMENT	Is equipment used?	NO	If 'No' move to next hazard
			If 'Yes' use space below to identify and assess any risks
<i>e.g. clothing, outboard motors.</i>	Examples of risk: inappropriate, failure, insufficient training to use or repair, injury. Is the risk high / medium / low?		

CONTROL MEASURES	Indicate which procedures are in place to control the identified risk		
	the departmental written Arrangement for equipment is followed		
	participants have been provided with any necessary equipment appropriate for the work		
	all equipment has been inspected, before issue, by a competent person		
	all users have been advised of correct use		
	special equipment is only issued to persons trained in its use by a competent person		
	OTHER CONTROL MEASURES: please specify any other control measures you have implemented:		
LONE WORKING	Is lone working a possibility?	NO	If 'No' move to next hazard
			If 'Yes' use space below to identify and assess any risks
<i>e.g. alone or in isolation lone interviews.</i>	Examples of risk: difficult to summon help. Is the risk high / medium / low? Low.		
CONTROL MEASURES	Indicate which procedures are in place to control the identified risk		
	the departmental written Arrangement for lone/out of hours working for field work is followed		
	lone or isolated working is not allowed		
	location, route and expected time of return of lone workers is logged daily before work commences		
	all workers have the means of raising an alarm in the event of an emergency, <u>e.g.</u> phone, flare, whistle		

	all workers are fully familiar with emergency procedures	
	OTHER CONTROL MEASURES: please specify any other control measures you have implemented:	
FIELDWORK	2	May 2010

ILL HEALTH	The possibility of ill health always represents a safety hazard. Use space below to identify and assess any risks associated with this Hazard.		
<i>e.g. accident, illness, personal attack, special personal considerations or vulnerabilities.</i>	Examples of risk: injury, asthma, allergies. Is the risk high / medium / low? Low.		
CONTROL MEASURES	Indicate which procedures are in place to control the identified risk		
	all participants have had the necessary inoculations/ carry appropriate prophylactics		
	participants have been advised of the physical demands of the research and are deemed to be physically suited		
	participants have been adequate advice on harmful plants, animals, and substances they may encounter		
	participants who require medication should carry sufficient medication for their needs		
	OTHER CONTROL MEASURES: please specify any other control measures you have implemented:		
TRANSPORT	Will transport be	NO	X Move to next hazard

<input type="checkbox"/>	required	YES	<input type="checkbox"/>	Use space below to identify and assess any risks
<i>e.g. hired vehicles</i>	Examples of risk: accidents arising from lack of maintenance, suitability, or training			
	Is the risk high / medium / low?			
CONTROL MEASURES	Indicate which procedures are in place to control the identified risk			
<input type="checkbox"/>	only public transport will be used			
<input type="checkbox"/>	the vehicle will be hired from a reputable supplier			
<input type="checkbox"/>	transport must be properly maintained in compliance with relevant national regulations			
<input type="checkbox"/>	drivers comply with UCL Policy on Drivers http://www.ucl.ac.uk/hr/docs/college_drivers.php			
<input type="checkbox"/>	drivers have been trained and hold the appropriate licence			
<input type="checkbox"/>	there will be more than one driver to prevent driver/operator fatigue, and there will be adequate rest periods			
<input type="checkbox"/>	sufficient spare parts carried to meet foreseeable emergencies			
<input type="checkbox"/>	OTHER CONTROL MEASURES: please specify any other control measures you have implemented:			
DEALING WITH THE PUBLIC	Will people be dealing with public	NO	<input type="checkbox"/>	If 'No' move to next hazard
<i>e.g. interviews, observing</i>	Examples of risk: personal attack, causing offence, being misinterpreted. Is the risk high / medium / low?			
CONTROL MEASURES	Indicate which procedures are in place to control the identified risk			
<input type="checkbox"/>	all participants are trained in interviewing techniques			
<input type="checkbox"/>	advice and support from local groups has been sought			
<input type="checkbox"/>	participants do not wear clothes that might cause offence or attract unwanted attention			

	interviews are conducted at neutral locations or where neither party could be at risk
	OTHER CONTROL MEASURES: please specify any other control measures you have implemented:
FIELDWORK	3
	May 2010

WORKING ON OR NEAR WATER	Will people work on or near water?	NO	If 'No' move to next hazard If 'Yes' use space below to identify and assess any risks
<i>e.g. rivers, marshland, sea.</i>	Examples of risk: drowning, malaria, hepatitis A, parasites. Is the risk high / medium / low?		
CONTROL MEASURES	Indicate which procedures are in place to control the identified risk		
	lone working on or near water will not be allowed		
	coastguard information is understood; all work takes place outside those times when tides could prove a threat		
	all participants are competent swimmers		
	participants always wear adequate protective equipment, e.g. buoyancy aids, wellingtons		
	boat is operated by a competent person		
	all boats are equipped with an alternative means of propulsion e.g. oars		
	participants have received any appropriate inoculations		
	OTHER CONTROL MEASURES: please specify any other control measures you have implemented:		
MANUAL HANDLING (MH)	Do MH activities take place?	NO	If 'No' move to next hazard If 'Yes' use space below to identify and assess any risks

e.g. <i>lifting, carrying, moving large or heavy equipment, physical unsuitability for the task.</i>	Examples of risk: strain, cuts, broken bones. Is the risk high / medium / low?
CONTROL MEASURES	Indicate which procedures are in place to control the identified risk
<input type="checkbox"/>	the departmental written Arrangement for MH is followed
<input type="checkbox"/>	the supervisor has attended a MH risk assessment course
<input type="checkbox"/>	all tasks are within reasonable limits, persons physically unsuited to the MH task are prohibited from such activities
<input type="checkbox"/>	all persons performing MH tasks are adequately trained
<input type="checkbox"/>	equipment components will be assembled on site
<input type="checkbox"/>	any MH task outside the competence of staff will be done by contractors
<input type="checkbox"/>	OTHER CONTROL MEASURES: please specify any other control measures you have implemented:
FIELDWORK	4 May 2010

SUBSTANCES	Will participants work with substances	NO	If 'No' move to next hazard If 'Yes' use space below to identify and assess any risks
e.g. <i>plants, chemical, biohazard, waste</i>	Examples of risk: ill health - poisoning, infection, illness, burns, cuts. Is the risk high / medium / low?		
CONTROL MEASURES	Indicate which procedures are in place to control the identified risk		
<input type="checkbox"/>	the departmental written Arrangements for dealing with hazardous substances and waste are followed		
<input type="checkbox"/>	all participants are given information, training, and protective equipment for hazardous substances they may encounter		

	participants who have allergies have advised the leader of this and carry sufficient medication for their needs		
	waste is disposed of in a responsible manner		
	suitable containers are provided for hazardous waste		
	OTHER CONTROL MEASURES: please specify any other control measures you have implemented:		
OTHER HAZARDS	Have you identified any other hazards?	YES	If 'No' move to next section
			If 'Yes' use space below to identify and assess any risks
<i>i.e. any other hazards must be noted and assessed here.</i>	Hazard: <ol style="list-style-type: none"> 1. Extended computer use. Medical conditions resulting from extended display screen equipment use. 2. Risks associated with the trip I'll be taking to the Dominican Republic in July. Risk: <ol style="list-style-type: none"> 1. Injury or ill health, including postural problems, visual problems, and fatigue / stress. 2. Risks related to COVID-19 in the case I go to local libraries in the Dominican Republic to seek additional information of local / indigenous authors / voices not accessible while I'm in London. 		
CONTROL MEASURES	Give details of control measures in place to control the identified risks		
	For Hazard 1: <ul style="list-style-type: none"> - Ensuring sufficient lighting levels in the spaces I'll be working. - Ensuring sufficient ventilation levels in the spaces I'll be working. - Ensuring sufficient space and adequate furniture and equipment to accommodate extended computer use. - Ensuring sufficient breaks to vary the posture and rest the eyesight. - Control measures related to mental health in the context of the COVID-19 pandemic and the fact that most of the work is conducted alone or in very small groups. For Hazard 2: <ul style="list-style-type: none"> - Maintaining social distancing at all times. - Compliance with local regulations related to the COVID-19 pandemic. - Wear face covering at all times in enclosed or indoor spaces. - Use hand sanitiser prior to and after journey. 		
Have you identified any risks that are not	NO		Move to Declaration

adequately controlled?	YE S	Use space below to identify the risk and what
		action was taken
DECLARATION	The work will be reassessed whenever there is a significant change and at least annually. Those participating in the work have read the assessment.	
Select the appropriate statement:		
<input type="checkbox"/>	I the undersigned have assessed the activity and associated risks and declare that there is no significant residual risk	
<input type="checkbox"/>	I the undersigned have assessed the activity and associated risks and declare that the risk will be controlled by the method(s) listed above	
NAME OF SUPERVISOR Stephen Marshall		
FIELDWORK	5	May 2010

240122_Dissertation_Virna Castillo Reyes

GRADEMARK REPORT

FINAL GRADE

/100

GENERAL COMMENTS

Instructor

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