Global State of National Urban Policy 2021:

Achieving Sustainable Development Goals and Delivering Climate Action

OECD

UN HABITAT
FOR A BETTER URBAN FUTURE

Cities Alliance
Cities Without Slums
Hosted by UNOPS

Global State of National Urban Policy 2021

ACHIEVING SUSTAINABLE DEVELOPMENT GOALS
AND DELIVERING CLIMATE ACTION

The opinions expressed and arguments employed herein do not necessarily reflect the official views of of the governments of UN Habitat members, or UNOPS/Cities Alliance.

The names of countries and territories used in this joint publication follow the practice of the United Nations.

This document, as well as any data and map included herein, are without prejudice to the status of or sovereignty over any territory, to the delimitation of international frontiers and boundaries and to the name of any territory, city or area.

Regional groupings in this report follow the new regional groupings based on United Nations Standard Country and Area Codes (M49) Classifications. The following modifications have been made in order to more adequately align with UN Habitat regional groupings which are reflected in the UN Habitat World Cities Report: Western Asia states have been regionally grouped into the Arab States, with the exception of Comoros, Djibouti, Somalia, and Mauritania which are in the Africa region and Armenia, Azerbaijan, Cyprus, Georgia, Israel, Turkey which are in the Asia and the Pacific region. The North American countries, Canada and the United States of America, have been added to the European region, forming a category for Europe and North America.

The statistical data for Israel are supplied by and under the responsibility of the relevant Israeli authorities. The use of such data by the OECD is without prejudice to the status of the Golan Heights, East Jerusalem and Israeli settlements in the West Bank under the terms of international law.

Please cite this publication as:
OECD/UN-HABITAT/UNOPS (2021), *Global State of National Urban Policy 2021: Achieving Sustainable Development Goals and Delivering Climate Action*, OECD Publishing, Paris, *https://doi.org/10.1787/96eee083-en*.

ISBN 978-92-64-88003-0 (print)
ISBN 978-92-64-77950-1 (pdf)

Photo credits: Cover © deberarr/Getty images

Corrigenda to publications may be found on line at: *www.oecd.org/about/publishing/corrigenda.htm*.

© OECD, UN-HABITAT and UNOPS 2021

The use of this work, whether digital or print, is governed by the Terms and Conditions to be found at *http://www.oecd.org/termsandconditions*.

Preface

The OECD, UN-Habitat and Cities Alliance are delighted to introduce the *Global State of National Urban Policy 2021*: *Achieving the Sustainable Development Goals and Delivering Climate Action*, the second edition of the joint report developed as part of the National Urban Policy Programme (NUPP), launched in 2016 at the Habitat III Conference in Quito, Ecuador, to share experiences in NUP and support countries through the expertise of the three organisations and partners.

The COVID-19 pandemic has profoundly affected the health, lives and work of urban dwellers, magnifying and exploiting, in turn, many persistent urban challenges. But it also triggered paradigm shifts in considerations of how to plan and design cities to deliver resilient and sustainable growth, inclusiveness, well-being and opportunities for all. Lessons from the accelerated experiences with teleworking, accessibility, mobility, public space, local services, green amenities, the built environment and city governance pave the way towards a 'new normal' for the cities of tomorrow. Local and national governments share responsibility to shape green, smart and inclusive cities that can be more resilient to shocks and pressures, notably in the face of global megatrends such as climate change, demographic shifts and digitalisation.

Long before the pandemic, our three institutions called for ambitious and integrated national urban policy (NUP) to enable cities to thrive and drive national prosperity through government-led processes co-ordinating various actors in the move towards a common vision and goal of urban development. Policy instruments to harness high quality and polycentric urbanisation exist in many countries. However, Habitat III's New Urban Agenda and other global agendas adopted in 2015 – the Paris Agreement, the Sendai Framework, and the Sustainable Development Goals (SDGs) elevated the momentum. COVID-19, which has seen cities on the frontline of the crisis, further reinforced the importance of NUP in the multi-level co-ordination needed for integrated recovery strategies.

This report showcases and analyses state-of-the-art knowledge about NUP in 162 countries, highlighting how governments across the world use NUP to address the challenges that COVID-19 has now spotlighted and amplified. This edition reveals the remarkable progress since 2018 in mainstreaming environmental objectives, the SDGs and other global agendas into NUP. The report also identifies remaining challenges where action is needed, included in addressing policy siloes, and data and capacity gaps.

We believe that NUPs and this report provide valuable instruments to guide, develop and implement short-, medium- and long-term urban reforms and, ultimately, to deliver better urban policies for better lives for all in an urbanising world.

Lamia Kamal-Chaoui

Director, Centre for Entrepreneurship, SMEs, Regions and Cities, OECD

Maimunah Mohd Sharif

Under-Secretary-General and Executive Director, UN-Habitat

Greg Munro

Director, Cities Alliance

Foreword

Global State of National Urban Policy 2021: *Achieving the Sustainable Development Goals and Delivering Climate Action* provides a comprehensive review of national urban policy (NUP) in 162 countries around the globe. This global monitoring report, produced by the OECD, UN-Habitat and Cities Alliance, showcases how countries use NUP to enhance sustainable urban development, advance global agendas and address challenges magnified or revealed by the COVID-19 crisis. It also provides ten recommendations for NUP to build better cities, and develop an integrated, multi-level and strategic vision for cities after COVID-19.

This report is the second edition of *Global State of National Urban Policy*. It builds and expands on the first edition launched at the 2018 World Urban Forum, to compare key NUP trends, characteristics and evolution since 2018. In doing so, the report introduces a refined and more robust data collection process, in particular, a dedicated country survey on NUP extended to 86 countries, complemented by desk research on another 76 countries. Moreover, the report features two new thematic strands offering more specific evidence in relation to the role of NUP in (1) advancing the Sustainable Development Goals and other global urban agendas, and (2) spearheading a systems approach to build low- carbon and climate-resilient cities.

The report is an outcome of the 2019-20 Workplan of the National Urban Policy Programme (NUPP), which aimed at strengthening knowledge and capacity in countries to develop, implement and monitor NUP in an effective, efficient and inclusive way.

Looking forward, the NUPP Workplan for 2021-22 asserts global monitoring of NUP as an ongoing activity, alongside three other priorities: (1) thematic studies, (2) enhanced knowledge exchange, and (3) stronger engagement and collaboration across NUPP partners.

Acknowledgements

This report was jointly prepared by the OECD, UN-Habitat and Cities Alliance as part of the 2019-20 Workplan of National Urban Policy Programme (NUPP).

OECD's contribution was produced by the Centre for Entrepreneurship, SMEs, Regions and Cities (CFE) led by Lamia Kamal-Chaoui, Director, as part of the Programme of Work and Budget of the Regional Development Policy Committee. UN-Habitat's contribution was produced by the Global Solutions Division led by Raf Tuts, Director. Cities Alliance's contribution was led by Greg Munro, Director.

Tadashi Matsumoto (OECD) and Remy Sietchiping (UN-Habitat) led the research team and co-ordinated the overall work, under the supervision of Aziza Akhmouch, Head of the Cities, Urban Policies and Sustainable Development Division in the CFE (OECD), Shipra Narang Suri, Chief of the Urban Practices Branch (UN-Habitat) and Rene Peter Hohmann, Acting Head of Programmes (Cities Alliance).

Lead authors of the report include a core team of policy analysts and experts comprised of:

- Joshua Drake and Keith Mudadi (Cities Alliance): Chapter 1 and 4
- Lucie Charles and Jonathan Crook (OECD): Chapter 2, 5 and 7
- Michael Kinyanjui (UN-Habitat): Chapter 3 and 6

The OECD, UN-Habitat and Cities Alliance are grateful for the support and commitment from partner organisations in conducting and analysing the national urban policy country survey and in contributing to the drafting, in particular:

- International Society of City and Regional Planners (ISOCARP) (Elisabeth Belpaire and Mahak Agrawal): Chapters 2, 4, 5 and 7
- United Cities and Local Governments (UCLG) (Edgardo Bilsky and Anna Calvete Moreno): Chapter 4
- Coalition for Urban Transitions (Sarah Colenbrander and Catlyne Haddaoui): Chapter 7

Several colleagues provided comments or inputs on earlier drafts and are herein gratefully acknowledged including Lorenz Gross, Antonina Grymova, Soo-Jin Kim, Stefano Marta, Atsuhito Oshima, Elvira Shafikova and Camille Viros from the OECD, and Zahra Aden, Diana Carrillo-Silva, Gianluca Crispi, Filiep Decorte, Rafael Forero, Herbert Kimani, Christine Knudsen, Sun Lei, Victor Mgendi, Eduardo Moreno, Susannah Price and María Téllez Soler from UN-Habitat. Chris Mensah, Bridget Oballa and Mary Oyiolo from the UN-Habitat Secretariat of the Governing Bodies supported the national urban policy country survey process. Special thanks are extended to international experts who provided comments and feedbacks to the country survey as well as the draft report: Eugenie Birch (University of Pennsylvania), Jago Dodson (RMIT), Susan Parnell (University of Bristol), David Dodman (International Institute for Environment and Development) and Isabel Duque Franco (National University of Colombia).

The national urban policy country draft survey benefited from comments and feedback from OECD countries: Canada, France, Italy, Mexico, Norway, Poland and the United States. Earlier drafts of this report were discussed at three meetings of the NUPP supporting partners in October 2019, February 2020 and

December 2020. Interim findings were also presented at the twenty-eighth and twenty-ninth meetings of the OECD Working Party on Urban Policy in April and November 2020. The report was approved by the OECD Regional Development Policy Committee on 5 May 2021 under the cote CFE/RDPC/URB(2021)6.

Special thanks to Pilar Philip from the OECD for coordinating the publication process, François Iglesias and Liv Gaunt for their contributions to its production, Vicky Quinlan from UN-Habitat and Misha Pinkhasov for editing the report and to Eleonore Morena for formatting the report.

Table of contents

Preface 3

Foreword 4

Acknowledgements 5

Abbreviations and acronyms 11

Executive summary 13

1 Introduction and methodology 19
- Global monitoring of national urban policy: The context 20
- Objectives of the report 21
- Methodology 22
- References 30
- Note 30

2 Perception of NUPs in today's policy environment 31
- National definitions of NUP 32
- Expected outcomes of NUP 36
- Institutional context for NUPs 38
- Urban policies at different levels of government 41
- Emerging policy needs for NUP 44
- Ways forward 46
- References 48

3 Key trends and characteristics of NUP 49
- Forms of NUP 50
- Characteristics of NUP 52
- Stage of development of NUP 54
- Thematic scope of NUP 56
- Institutions leading the NUP process 59
- Ways forward 60
- Annex 3.A. List of NUP 61
- References 75
- Notes 75

4 Factors for successful NUP processes 77
Aligning policies among and across levels of government 78
Working together with stakeholders 82
Increasing implementation capacity 90
Measuring enabling environment for cities 95
Ways forward 97
References 98

5 Data, monitoring and evaluation of NUP 99
Data in the NUP process 100
Types of monitoring and evaluation frameworks 101
Designing NUP monitoring and evaluation to serve broader purposes 102
Developing a more robust urban monitoring framework 102
Ways forward 107
References 107

6 Advancing the Sustainable Development Goals and global agendas through NUP 109
The role of NUP in advancing and localising global agendas 110
Monitoring the progress of SDG 11.a through NUP 115
Linking the 17 SDGs through NUP 119
Co-ordinating between NUP and SDGs implementation 121
Ways forward 126
Annex 6.A. Measuring how NUPs fulfil SDG 11.a.1 qualifiers and contribute to global agendas 127
References 130

7 Driving the zero-carbon transition and climate resilience through NUP 131
Urgent need for climate action in cities 132
Traction for climate resilience and the low-carbon transition 134
Expertise and co-ordination to integrate climate change and urban policy 137
Recognising benefits from mainstreaming climate action 139
Delivering mitigation targets through traditional and new approaches 141
Reinforced climate resilience through risk reduction 143
Co-ordination mechanisms to embed climate action in NUP 145
Improving the climate resilience of vulnerable urban populations 147
Ways forward 148
Annex 7.A. Assessing how NUPs address climate change 151
References 158

Tables

Table 1.1. Countries covered in the global monitoring of NUP, per region 29
Table 2.1. Key outcomes identified to achieve through NUP, by global region, n = 86 37
Table 3.1. Major progress in NUP stage of development from 2018 to 2020, in selected countries 55
Table 3.2. Levels of attention of NUPs by sub-theme, n = 69 58
Table 7.1. Key objectives of mainstreaming climate action in NUP, by region, n = 54 140

Annex Table 3.A.1. List of NUP (identified from the NUP country survey) 61
Annex Table 3.A.2. List of NUP (identified from desk research) 70
Annex Table 6.A.1. Measuring how NUPs fulfil SDG 11.a.1 qualifiers and contribute to global agendas 127
Annex Table 7.A.1. How NUPs address climate change 151

Figures

Figure 1.1. Key questions addressed in the joint NUP country survey 23
Figure 2.1. Countries with a formal definition of National Urban Policy, n = 84 32
Figure 2.2. Key outcomes countries aim to achieve through NUP, n = 86 36
Figure 2.3. Types of competences for urban matters at the national level, n = 83 41
Figure 3.1. Forms of NUP, n = 162 51
Figure 3.2. Forms of NUP by region, n = 162 51
Figure 3.3. Key characteristics of NUPs in explicit forms, n = 58 53
Figure 3.4. Key characteristics of NUPs in non-explicit forms, n = 28 54
Figure 3.5. Stages of development of NUP in 2018 and 2020, n = 150 (2018), n = 157 (2020) 55
Figure 3.6. Stages of explicit and non-explicit NUPs in 2020, n = 91 (explicit NUPs), n = 66 (non-explicit NUPs) 56
Figure 3.7. Levels of attention given to selected themes in NUP, n = 113 57
Figure 3.8. Moderate to extensive attention to themes of NUP by region, n = 113 57
Figure 3.9. Institutions leading the NUP, n = 86 59
Figure 4.1. Mechanisms to align NUP with sectoral policies at the national level, n = 86 79
Figure 4.2. Mechanisms for vertical policy alignment in the NUP process, n = 86 80
Figure 4.3. Mechanisms for horizontal policy alignment among local governments in and between urban areas, n = 86 82
Figure 4.4. Engagement of sub-national governments in the NUP process, by level of attention and by stage of NUP development, n = 86 82
Figure 4.5. Engagement of civil society and community organisations in the NUP process, by level of attention and by stage of NUP development, n = 86 86
Figure 4.6. Engagement of the private sector in the NUP process, by level of attention and by stage of NUP development, n = 86 87
Figure 4.7. Engagement of academia and research institutions in the NUP process, by level of attention and stage of NUP development, n = 86 87
Figure 4.8. Means of citizen engagement in the NUP process, n = 86 88
Figure 4.9. Special measures in NUP process for vulnerable urban populations, n = 66 89
Figure 4.10. Types of implementation mechanisms for NUPs, n = 48 91
Figure 4.11. Greatest challenges for NUP implementation at the national level, n = 48 92
Figure 4.12. Greatest challenges for NUP implementation at the sub-national level, n = 48 93
Figure 4.13. Sources of financing for NUP implementation, n = 48 94
Figure 4.14. Sources of financing for NUP implementation, regional data, n = 48 94
Figure 5.1. Data sources used in the NUP process, n = 86 101
Figure 5.2. Types of NUP monitoring and evaluation frameworks, n = 68 102
Figure 5.3. Intended use of monitoring and evaluation of NUPs, n = 68 103
Figure 5.4. OECD Principles on Urban Policy 105
Figure 5.5. Performance of cities in OECD countries on SDG 2 and SDG 13 106
Figure 6.1. NUP contributions to achieving global agendas that the NUPs help achieve, n = 86 111
Figure 6.2. Share of NUPs that help achieve selected global agendas, per global region 114
Figure 6.3. Number of NUPs and RDPs that fulfil SDG 11.a.1, by number of qualifiers, n = 58 (NUPs), n = 43 (RDPs) 116
Figure 6.4. Number of NUPs and RDPs that fulfil the SDG 11.a.1, by type of qualifier, n = 58 (NUPs), n = 43 (RDPs) 117
Figure 6.5. Number of NUPs per level of contribution to other SDGs, n = 86 120
Figure 6.6. Number of NUPs contributing extensively to other SDGs 121
Figure 6.7. Ministries in charge of implementing NUP and SDG 11 122
Figure 6.8. A territorial approach to the SDGs supports the transition to a new regional development paradigm 124
Figure 6.9. OECD Checklist for Public Action to localise the SDGs 125
Figure 7.1. Number of NUPs that explicitly address climate change, n = 67 134
Figure 7.2. Number of NUPs addressing climate change, by region, n = 67 135
Figure 7.3. Challenges to integrating climate change in NUPs, n = 67 138
Figure 7.4. Key objectives of mainstreaming climate action in NUP, n = 54 139
Figure 7.5 Urban low-carbon transition/mitigation actions addressed by NUPs, n = 54 142
Figure 7.6. Urban climate adaptation actions addressed by NUPs, n = 54 145
Figure 7.7. Mechanisms for co-ordination of climate action in NUPs, n = 54 146
Figure 7.8. Number and share of NUPs incorporating special measures to improve resilience of vulnerable urban populations to climate change, n = 46 148

Boxes

Box 1.1. First edition of the Global State of National Urban Policy report: key findings 21
Box 1.2. NUP Country Survey: 40 questions 23
Box 2.1. Selected examples of national definitions of NUP 33
Box 2.2. Federal states' distribution of competences and responsibilities for NUP 38
Box 2.3. Unitary states' distribution of competences and responsibilities for NUP 39
Box 2.4. Examples of sub-national urban policies 42
Box 2.5. Mainstreaming urban-rural linkages in NUP: the case of Rwanda 46
Box 2.6. National Urban Policy Programme 47
Box 4.1. Stakeholder engagement in Chile's National and Regional Councils for Urban Development 83
Box 4.2. The Global Taskforce-UCLG 2020 survey on the localisation of the SDGs and the 2030 Agenda 85
Box 4.3. City Enabling Environment (CEE) Rating initiative 96
Box 5.1. A new definition of the degree of urbanisation 103
Box 5.2. OECD Principles on Urban Policy 104
Box 5.3. Measuring cities' and regions' progress towards the SDGs 106
Box 6.1. Aligning NUPs, the SDGs and NUA: The example of Cuba 111
Box 6.2. Recognition of local actions in global agendas 112
Box 6.3. The New Leipzig Charter 114
Box 6.4. The three 'qualifiers' of the SDG 11.a.1 indicator 115
Box 6.5. Examples of how NUPs and RDPs have integrated the 3 qualifiers 118
Box 6.6. Promoting the 2030 Agenda and the New Urban Agenda through NUP in Spain 123
Box 6.7. A Territorial Approach to the SDGs: Framework and Checklist 124
Box 7.1. Enhancing cities' potential for climate action through NUP 133
Box 7.2. The Netherlands' Draft National Strategy on Spatial Planning and the Environment 136
Box 7.3. Colombia's Law no. 1931 establishing guidelines for the management of climate change 137
Box 7.4. Carbon pricing and fiscal instruments for climate action 143
Box 7.5. France's national co-ordination to embed sustainability factors in urban renewal projects 147

Abbreviations and acronyms

AAAA	Addis Ababa Action Agenda
ADEME	Environment and Energy Management Agency
AEU2	Environmental Approach for Urban Planning 2
AFINUA	Action Framework for the Implementation of the New Urban Agenda
ANCT	l'Agence nationale de la cohésion territoriale
ANRU	National Urban Renewal Agency
ASEAN	Association of Southeast Asian Nations
BBSR	Federal Institute for Research on Building, Urban Affairs and Spatial Development
CA	Cities Alliance
CEE	City Enabling Environment
CNDU	National Council for Urban Development
CNPD	National Development Planning Commission
COMICIVYT	Commission for the City, Housing and Territory
COVID-19	Coronavirus disease
DEFR	Secrétariat d'État à l'économie
DETEC	Office fédéral du développement territorial ARE
DHPLG	Department of Housing, Planning and Local Government
DHSUD	Department of Human Settlements and Urban Development
EC	European Commission
EEA	European Economic Area
ENRRD	Estratégia Nacional de Redução de Riscos de Desastres (National Strategy for Disaster Risk Reduction)
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FUA	Functional urban area
GIS	Geographic Information System
GPS	Government Policy Statement on Housing and Urban Development
GSNUP	Global State of National Urban Policy
ICLEI	Local Governments for Sustainability
IDP	Internally displaced persons
ILO	International Labour Organization
IPA	Israel Planning Administration
IPF	Institute of Physical Planning
KENTGES	Integrated Urban Development Strategy and Action Plan
LEP	Local Enterprise partnerships
LGA	Local government associations
LRG	Local and regional governments
MCCSAP	Myanmar Climate Change Strategies and Action Plan

MCTI	Ministry of Science, Technology and Innovation
MCTRCT	Ministère de la cohésion des territoires et des relations avec les collectivités territoriales
MHUV	Ministère de l'Habitat, de l'Urbanisme et de la Ville
MICLAT	Ministère de l'Intérieur, des Collectivités Locale et de l'Aménagement du Territoire
MIVAH	Ministry of Housing and Human Settlements
MIVIOT	Ministry of Housing and Territorial Planning, Panama
MLIT	Ministry of Land, Infrastructure, Transport and Tourism, Japan
MMDA	Metropolitan, Municipal and District Assemblies, Ghana
MOPIRNA	Ministry if Public Works, Infrastructures, Natural resources and Environment
MoRUD	Ministry of Road and Urban Development
MURD	Ministry of Urban and Rural Development
NAPA	Nation Adaptation Programme of Action
NCCSD	National Coordinating Council for Sustainable Development
NCSD	National Concept for Spatial Development
NOVI	National Strategy on Spatial Planning and the Environment
NPNRU	National Urban Renewal Programme
NSSD	National Strategy for Sustainable Development, Montenegro
NUA	New Urban Agenda
NUDHF	National Urban Development and Housing Framework
NUDP	National Urban Development Policy
NUP	National urban policy
NUPP	National Urban Policy Programme
OECD	Organisation for Economic Co-operation and Development
PaQte	Pact with Neighbourhoods for All Businesses
PNDU	National Policy for Urban Development
PNOT	Cabinet of Territorial Planning
PNOTU	The National Policy on Spatial Planning and Urbanism
PPP	Public Private Partnership
PSDATU	Sectorial Program for Agrarian, Territorial and Urban Development
R&D	Research and Development
RDP	Regional Development Plans
RISE	Framework Programme Integrated District Development
SDG	Sustainable Development Goal
SEDATU	Secretariat for Agrarian, Land and Urban Development
SNCB	National Railway Company of Belgium
SPED	Strategic Plan for the Environment and Development
ST&I	Science, Technology and Innovation
TULab	Tanzania's Urban Laboratory
UCLG	United Cities and Local Government
UCLGA	United Cities and Local Government Africa
UCLG-ASPAC	United Cities and Local Government Asia Pacific
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
WiN	Wohnen in Nachbarschaften (Living in Neighbourhoods)

Executive summary

The COVID-19 crisis shed light on the potential of national urban policy (NUP) to shape more resilient, green and inclusive cities with the duty shared across levels of government. Before the pandemic, more than 90 countries explicitly used NUP to set a common vision, align sectoral policies, foster rural-urban linkages, address socio-spatial inequalities, and facilitate multi-level dialogues for a balanced, polycentric and higher-quality urbanisation that delivers inclusive and sustainable growth and well-being for all. Whilst COVID-19 magnified existing and well-known urban challenges, it also built social and political acceptance of future-proof policy reforms required by cities of all sizes.

Since the first global monitoring carried out by the OECD, UN-Habitat and Cities Alliance in 2018, significant improvements took place regarding NUP design and implementation around the globe. Based on a survey of 86 countries, complemented by desk research on additional 76 countries, this second edition documents these improvements, in particular the integration of social and environmental objectives, evidence-based monitoring of NUP effectiveness and outcomes, and systematic mainstreaming of the Sustainable Development Goals, the Paris Climate Agreement and other global agendas in NUP design and implementation. However, policy siloes, persistent data and information gaps, and weak capacity continue to challenge both national and sub-national governments in making the most of NUP's potential.

Key findings

- **The COVID-19 crisis raised the profile of NUP** as key to more resilient, greener and more inclusive cities and part of countries' recovery packages. Beyond the public health emergency to contain the virus and protect citizens, the pandemic prompted cities to rethink how they deliver services, how they plan their space and how they can resume economic growth.
- **Forward-looking NUP can help cities be more resilient,** not only by responding to a crisis but by preventing or preparing for future crises, through paradigm shifts that make cities more resilient and more connected with rural areas in terms of production, energy and transport.
- **Definitions of NUPs vary**, but they commonly refer to a coherent set of decisions through a deliberate, government-led process rallying and co-ordinating diverse actors towards a common vision and goal to promote more transformative, productive, inclusive and resilient urban development for the long term.
    - Definitions range from outcome-based dimensions, such as sustainable urban development and social inclusion, to process-based dimensions, such as stakeholder engagement.
    - While some NUPs aim to achieve improved quality of life and well-being for all urban residents, others distinctly target disadvantaged urban areas. This underlines the need for more granular and contextualised NUP monitoring across and within countries.
- **All 162 countries studied have national-level urban policies**, although in different forms, at different development stage and with varying thematic foci. The majority (56%) take explicit form, namely consisting of a dedicated policy entitled 'national urban policy' or equivalent, while others

are embedded in national development strategies or sectoral plans (e.g. housing, transport, land-use). Where explicit NUPs exist, they primarily aim to "set a common strategic vision" (90%), foster "multi-sectoral policy co-ordination" (83%) and "enhance integrated territorial perspective" (83%).

- **NUPs matured since the first edition of the global monitoring** in 2018. They take more explicit forms (from 51 to 56%), advanced to implementation stage (from 61 to 62%) and embrace wider objectives, including climate resilience (from 36 to 48%). More than 50 existing NUPs address both climate resilience and the low-carbon transition to leverage synergies with low-carbon mobility (89%), mixed-use and compact development (74%), sustainable buildings (69%), risk assessment (63%) and risk-sensitive land-use policies (59%).
- **More than two-thirds of countries recognise NUP's potential to advance the SDGs**, other than Goal 11 devoted to "Cities and Communities" (most prominently Goal 6 "Clean Water and Sanitation", Goal 8 "Decent Work and Economic Growth", Goal 9 "Industry, Innovation and Infrastructure" and Goal 13 "Climate Action").
  - A total of 30 countries (41%) report NUPs that fulfil the criteria for SDG11.a.1, i.e. responding to population dynamics, ensuring balanced territorial development and increasing local fiscal space.
  - Beyond the SDGs, many countries recognise NUP as key to other global and regional urban agendas such as the New Urban Agenda (60%), the Paris Climate Agreement (53%) and the Sendai Framework for Disaster Risk Reduction (34%).
- **Challenges to effective NUPs persist**, including co-ordination, resources, capacity and data gaps. The lack of financial and human resources are the two main challenges to implementation, both reported by 54% of countries. A lack of expertise at the intersection of climate change and urban policy (39%), and limited co-ordination mechanisms between national and local levels (30%) are common obstacles to integrating climate objectives in NUP. Despite growing concerns, socio-spatial inequalities and divides in cities (e.g., urban-rural connectivity, spatial segregation) are not extensively addressed in surveyed NUPs. Lastly, bottom-up processes for data collection could be improved, with only 40% of countries using data from sub-national governments in the NUP process.
- **Several factors enable NUP**, including stakeholder engagement, key for better policy prioritisation in formulating and implementing NUP, which can also guide countries, regions and cities to more concerted alignment of their actions and agendas. In addition, conducive constitutional and legislative frameworks, fiscal transfers from central to local governments, the capacity and performance of local government, and democracy and transparency in governance, are important enabling factors.

The 10 key recommendations

- **Promote NUP as key framework to rethink post COVID-19 urban paradigms** towards just, green and smart cities that can anticipate and respond to future shocks.
- **Enhance the role of NUP as a comprehensive, strategic and shared vision** for balanced, quality and polycentric urbanisation, and effective alignment and co-ordination across places, sectors and levels of government.
- **Engage local and regional authorities, and stakeholder groups** in the design, implementation and monitoring of NUP, involving all segments of society to address the needs of the most vulnerable, such as women, the elderly, youth, the disabled, migrants and minorities.
- **Consider varied sources of finance to support the implementation of NUP**, including national-subnational co-financing arrangements, public-private partnerships, private financing and initiatives led by communities or co-operatives.

- **Invest in robust urban-scale data to design NUPs** that address place-based concerns, foster monitoring and evaluation, and facilitate evidence-based stakeholder dialogue, accountability and integrity throughout the NUP process.
- **Leverage the role of NUP as connector of urban and climate-related ministries**, through bridging knowledge gaps and enhancing inter-ministerial co-ordination to scale up climate action.
- **Embed more diverse and innovative environmental policy instruments in NUPs**, such as carbon pricing to reduce emissions, taking into account their distributional effects on vulnerable groups.
- **Enhance the contribution of NUP to global and regional agendas,** notably the SDGs, the New Urban Agenda, the Paris Climate Agreement and Sendai Framework for Disaster Risk Reduction.
- **Align NUP targets and indicators with the SDGs and other global indicators** to build a coherent monitoring and evaluation framework.
- **Share knowledge and experience on NUP** through multi-stakeholder dialogues, peer-learning and collaboration in global platforms such as the National Urban Policy Programme.

***The French-language version of this Executive Summary follows.**

Résumé

La crise de la COVID-19 a mis en lumière combien les politiques nationales urbaines (PNU) pouvaient contribuer à rendre les villes plus résilientes, plus vertes et plus inclusives dans le cadre d'une responsabilité partagée par l'ensemble des niveaux d'administration. Avant même la crise, plus de 90 pays avaient déjà expressément recours aux PNU afin de définir une vision commune de la politique urbaine, harmoniser les politiques sectorielles, favoriser l'articulation entre les zones urbaines et les zones rurales, corriger les inégalités socioterritoriales, et faciliter le dialogue pluri-niveaux autour d'une urbanisation équilibrée, polycentrique et de qualité, source de croissance inclusive et durable et de bien-être pour tous. Alors que cette crise a accentué les problèmes qui préexistaient dans les villes, et que l'on connaît bien, elle a aussi permis d'augmenter l'acceptation sociale et politique des réformes nécessaires pour préparer l'avenir des villes de toutes tailles.

Depuis la première étude mondiale, réalisée par l'OCDE, l'ONU-Habitat et Cities Alliance en 2018, des progrès notables ont été accomplis un peu partout en ce qui concerne la conception et la mise en œuvre des PNU. Étayé par les résultats d'une enquête ayant porté sur 86 pays, auxquels s'ajoutent des recherches documentaires sur 76 autres pays, ce deuxième rapport de suivi mondial des PNU rend compte de ces progrès, parmi lesquels on retiendra l'intégration des objectifs sociaux et environnementaux, l'évaluation de l'efficacité et des résultats des mesures prises, et la place systématique réservée aux Objectifs de Développement Durable et à l'Accord de Paris sur le Climat, entre autres programmes d'action mondiaux, dans la définition et la mise en œuvre des PNU. Pour autant, les cloisonnements qui affectent l'action publique, les lacunes qui persistent en matière de données et d'informations, ainsi que le manque de moyens, empêchent toujours les administrations centrales et infranationales de tirer le meilleur parti possible des PNU.

Principales conclusions

- **La crise liée à la COVID-19 a donné plus de relief aux PNU** qui sont devenues indispensables à la construction de villes plus résilientes, plus vertes et plus inclusives, et qui font partie des plans nationaux de relance. Au-delà de l'urgence de santé publique, qui nécessite de freiner la propagation du virus et de protéger les citoyens, la pandémie a incité les villes à repenser leurs services, l'aménagement de l'espace et les moyens de renouer avec la croissance économique.
- **Des PNU inscrites dans la durée peuvent renforcer la résilience des villes,** en permettant non seulement de faire face à une crise donnée, mais aussi d'en prévenir de nouvelles ou de mieux s'y préparer, grâce à de nouveaux paradigmes qui rendent les villes plus résilientes et mieux connectées aux zones rurales en termes de production, d'énergie et de transport.
- **Les définitions des PNU varient** mais souvent « réfèrent à un ensemble cohérent de décisions prises dans le cadre d'un processus volontaire, mené par les pouvoirs publics, visant à réunir et à coordonner différents acteurs autour d'une vision et d'un objectif communs dans le but de favoriser un développement urbain à long terme qui soit plus transformateur, productif, inclusif et résilient. »
    - Certaines définitions tendent à privilégier la finalité visée, comme le développement urbain durable et l'inclusion sociale, ou au contraire les moyens employés, comme la mobilisation des parties prenantes.
    - Si certaines PNU visent à améliorer la qualité de vie et le bien-être des citadins, d'autres s'adressent spécifiquement aux zones défavorisées. Il s'ensuit la nécessité d'un suivi plus étroit et plus sensible au contexte, à l'échelle nationale et internationale.
- **Si les 162 pays étudiés sont tous dotés de politiques urbaines d'envergure nationale**, celles-ci diffèrent par leur nature, leur degré d'aboutissement et leur angle thématique. La majorité de ces politiques (56 %) ont un caractère explicite, ce qui signifie qu'il existe un train de mesures expressément désigné par le terme « politique urbaine nationale » ou par un terme équivalent, tandis que d'autres s'inscrivent dans des stratégies nationales de développement ou des plans d'action sectoriels (tels que logement, transport ou aménagement, par exemple). Lorsqu'il existe une PNU explicite, celle-ci a pour finalité première de « donner corps à une stratégie commune » (90 %), de favoriser « la coordination stratégique de plusieurs secteurs » (83 %) et de « porter une vision territoriale intégrée » (83 %).
- **Les PNU ont évolué depuis la première édition du rapport en 2018**. Elles se déclinent plus volontiers de manière explicite (56 contre 51 % auparavant), sont plus nombreuses à être déjà au stade de la mise en œuvre (62 contre 61%) et répondent à des objectifs plus vastes, parmi lesquels la résilience au climat (48 contre 36% en 2018). Plus d'une cinquantaine de PNU recouvrent aujourd'hui la résilience climatique et la transition vers une économie bas carbone, le but étant de tirer ainsi parti des synergies avec la mobilité bas carbone (89 %), le développement compact et diversifié (74 %), la durabilité des bâtiments (69 %), l'évaluation des risques (63 %) et les politiques d'aménagement du territoire en fonction du risque (59 %).
- **Plus des deux-tiers des pays voient dans les PNU un moyen de faire progresser les ODD**, au-delà du seul ODD 11, relatif aux villes et communautés (en premier lieu les ODD 6 relatif à l'eau propre et à l'assainissement, 8 relatif au travail décent et la croissance économique, 9 relatif à l'industrie et aux infrastructures, et 13 relatif au climat).
    - Trente pays en tout (soit 41 % du total) indiquent avoir des PNU qui remplissent le critère défini pour l'indicateur 11.a.1, dans la mesure où elles répondent à la dynamique des populations, garantissent un développement territorial équilibré et augmentent la marge de manœuvre budgétaire locale.
    - Au-delà des ODD, nombreux sont les pays qui estiment que les PNU sont essentielles à la mise en œuvre d'autres programmes mondiaux ou régionaux d'action urbaine, tels que le

Nouveau Programme pour les villes (60 %), l'Accord de Paris sur le Climat (53 %) et le Cadre d'action de Sendai pour la réduction des risques de catastrophe (34 %).

- **Des défis continuent d'entraver l'efficacité des PNU**, notamment le manque de coordination, de ressources, de capacités et de données. L'absence de capacités financières et celle de moyens humains suffisants constituent les deux principales entraves à leur mise en œuvre, ayant été signalées par 54 % des pays dans les deux cas. Le manque d'expertise au carrefour du changement climatique et de la politique urbaine (39 %), ainsi que l'insuffisance des mécanismes de coordination entre les échelons local et national (30 %) sont des obstacles fréquents à l'intégration des objectifs climatiques dans les PNU. Quoiqu'elles suscitent une préoccupation grandissante, les inégalités socioterritoriales et les fractures à l'intérieur des villes (par exemple, l'articulation entre zones urbaines et rurales et la ségrégation territoriale) ne sont guère prises en compte dans les PNU étudiées. Enfin, les processus ascendants de collecte de données mériteraient d'être améliorés, puisque seuls 40 % des pays s'appuient sur les éléments d'informations communiqués par les administrations infranationales pour les besoins des PNU.
- **Plusieurs facteurs facilitent les PNU**, notamment l'investissement des parties prenantes, un ressort essentiel d'une meilleure hiérarchisation des priorités, tant dans la phase de préparation qu'au moment de la mise en œuvre. Cette collaboration peut aussi aider les pays, régions et villes à mieux coordonner leurs interventions et programmes d'action. La présence de cadres constitutionnels et législatifs propices, les transferts budgétaires de l'État vers les administrations locales, la capacité et le comportement de ces dernières, ainsi que le caractère démocratique et la transparence de la gouvernance, sont également des facteurs importants pour le succès des PNU.

Les dix principales recommandations contenues dans le rapport

- **Faire des PNU un cadre essentiel** pour repenser les villes et les modèles de développement urbain post-COVID-19, afin de rendre les villes plus justes, plus vertes et plus intelligentes, et qui permettent d'anticiper et de surmonter les crises futures.
- **Miser davantage sur les PNU pour faire émerger une conception globale, stratégique et commune** pour une urbanisation équilibrée, de qualité et polycentrique, et pour assurer cohérence et coordination entre l'ensemble des localisations, des secteurs et des niveaux d'administration.
- **Associer les autorités locales et régionales, de même que les groupes de parties prenantes** à la conception, à la mise en œuvre et au suivi des PNU, en impliquant toutes les couches de la société pour répondre aux besoins des populations les plus vulnérables – telles que les femmes, les personnes âgées, les jeunes, les personnes handicapées, les immigrés et les minorités.
- **Envisager diverses sources de financement** pour la mise en œuvre des PNU : accords de cofinancement entre l'État et les administrations infranationales, mais aussi partenariats public-privé, fonds privés, initiatives de collectivités ou de coopératives.
- **Investir dans le développement de données fiables à l'échelle des villes** pour concevoir des PNU qui répondent bien aux préoccupations locales, en faciliter le suivi et l'évaluation et favoriser le dialogue avec les parties prenantes, la transparence et l'intégrité tout au long du processus des PNU.
- **Tirer parti des PNU en tant que point de rencontre entre les ministères en charge des politiques urbaines et ceux en charge de la lutte contre le changement climatique** en comblant les lacunes dans les connaissances et en renforçant la coordination interministérielle pour intensifier l'action climatique.
- **Intégrer des instruments de politique environnementale plus variés et innovants dans les PNU**, comme la tarification du carbone pour réduire les émissions, en prenant en compte leurs effets redistributifs sur les groupes de population vulnérables.

- **Renforcer la contribution des PNU aux programmes d'action mondiaux et régionaux**, notamment dans le cas des ODD, du Nouveau Programme pour les villes, de l'Accord de Paris sur le Climat et du Cadre de Sendai pour la réduction des risques de catastrophe.
- **Faire correspondre les cibles et indicateurs des PNU avec ceux des ODD et d'autres indicateurs mondiaux,** pour former un cadre de suivi et d'évaluation cohérent.
- **Partager les connaissances et les expériences sur les PNU** grâce à des dialogues entre les parties prenantes, l'apprentissage entre pairs et la collaboration à des plateformes mondiales telles que le Programme des Politiques Nationales Urbaines.

1 Introduction and methodology

This chapter presents the objectives and methodology of the report. The chapter begins by introducing the context in which global monitoring of national urban policy (NUP) is conducted, including why NUP has become a focus for governments. An overarching objective of the report is to support policymakers by providing robust data and evidence on how countries use NUP to enhance sustainable urban development, advance global agendas and address challenges magnified or revealed by the COVID-19 crisis. The methodology applied for this report builds and expands on the first edition launched in 2018. Major improvements include a dedicated country survey on NUP extended to 86 countries and two new thematic strands offering more specific evidence in relation to the role of NUP in (1) advancing the Sustainable Development Goals and other global urban agendas, and (2) spearheading a systems approach to build low-carbon and climate-resilient cities.

Global monitoring of national urban policy: The context

A national urban policy (NUP) is defined as "a coherent set of decisions through a deliberate government-led process of co-ordinating and rallying various actors towards a common vision and goal that will promote more transformative, productive, inclusive and resilient urban development for the long term" (UN-HABITAT/OECD, 2018[1]).

Almost half the world's population (48%) currently lives in cities. The urban population has more than doubled over the last 40 years, increasing from 1.5 billion people in 1975 to 3.5 billion in 2015, and is projected to reach 55% in 2050 (OECD/European Commission, 2020[2]). As the dynamic urbanisation process continues to offer opportunities and challenges, cities and urban areas have become increasingly important policy targets for national governments (OECD, 2014[3]). International communities have recognised such policy needs and have taken actions to support countries' efforts to develop and implement NUP. The Organisation for Economic Co-operation and Development (OECD), for example, has long been carrying out National Urban Policy Reviews, building on its work on urban development for decades (OECD, 2019[4]). UN-Habitat has supported more than 55 countries in the development and implementation of their NUPs (UN-HABITAT/OECD, 2018[1]).

Recent global processes have reaffirmed the importance of urban policies for sustainable development and the crucial role that national governments can play in this process. In particular, the adoption of the 2030 Agenda for Sustainable Development in 2015 and the New Urban Agenda (NUA) in 2016 have provided a strong rationale for countries to develop or review their NUP frameworks.

The NUA has put explicit emphasis on NUP as one of its five pillars of implementation,[1] and calls for measures to enhance the ability of governments to develop and implement such over-arching policies. In 2019, NUP was designated by the United Nations Statistic Commission as a monitoring tool for the Sustainable Development Goals (SDGs) through Indicator 11.a.1 (see Chapter 6 for details). Such developments provided a window of opportunity to scale up the uptake of NUP as a powerful policy process to help governments shape and implement urban policies (UN-HABITAT/OECD, 2018[1]).

A NUP can also play a stronger role in the current challenging times. The COVID-19 pandemic plays out unevenly across cities, regions and rural areas within any one country, and many cities have been on the frontline of the response to the crisis. In a context of emergency, cities have played a crucial role in implementing nation-wide measures (e.g. lockdowns) and have become laboratories for bottom-up and innovative policies and actions towards long-term recovery. The crisis prompted cities to rethink how they deliver services and how they plan their space, amongst other things. NUP can play a key role in driving the paradigm shift towards green, smart and inclusive cities by driving a shared vision for the future of cities, guiding policy reforms and supporting bottom-up and local innovative urban strategies (OECD, 2020[5]). The path to recovery from this unprecedented crisis calls for strong, multi-level dialogue, for which NUP will remain a key co-ordinating instrument, engaging policymakers, town planners and city dwellers.

Since 2016, the OECD, UN-Habitat and Cities Alliance have been collaborating to develop a regular and systematic NUP monitoring framework at the global scale under the framework of the **National Urban Policy Programme (NUPP)**. In February 2018, the first edition of such a monitoring was jointly launched by UN-Habitat and the OECD in the report **Global State of National Urban Policy** at the 9th World Urban Forum. The objective of the report was to monitor and evaluate the progress of NUP at the global level, with commonly defined methodologies and processes. It provided policymakers, practitioners and academia with evidence and country-level experiences (Box 1.1).

The Global State of National Urban Policy report serves as a critical source of information and analysis for policymakers and urban professionals as it establishes the foundation for understanding how and in what forms NUPs have been developed, implemented and monitored globally. It also paves the way for the definition of a common methodology to monitor the progress of NUP at the global level. At the same time, it responds to the need for better reporting and collecting of information about the status of NUP at the

global level, not only to support countries' NUP development but also to track the contribution of NUP to the implementation of the SDGs and the New Urban Agenda (UN-HABITAT/OECD, 2018[1]).

Box 1.1. First edition of the Global State of National Urban Policy report: key findings

The 2018 Global State of National Urban Policy report was based on regional studies by UN-Habitat and a study of the OECD member countries by the OECD. It provided a first attempt at assessing NUP trends, opportunities, challenges and ways forward, by analysing 150 NUPs. The key findings include:

- The 150 NUPs examined were evenly distributed between explicit NUPs (76) and partial, or implicit, NUPs (74). While globally, 92 countries (61%) were already implementing their NUPs, the majority of explicit NUPs (51%) were still in earlier stages of development. Rapidly urbanising regions such as Africa, the Arab States, and Asia and the Pacific presented the highest proportions of explicit NUPs, as well as NUPs in earlier stages of development. They were also more likely to have dedicated a specialised urban agency to the implementation of their NUP, indicating a high level of political attention to urbanisation.
- Spatial structure and economic development were the two sectors most extensively covered by NUP. In contrast, attention to climate change resilience and environmental sustainability was weakest; of the 108 NUPs in or beyond the formulation stage, only 11 (10%) of NUPs gave extensive attention to climate change resilience and 28 (26%) to environmental sustainability.
- NUP can be an opportunity to balance top-down and bottom-up approaches in their institutional articulation, by redefining and strengthening national and sub-national roles and responsibilities for increased coherence, efficiency and legitimacy. Further involvement of sub-national government in NUP processes was often restricted by a lack of capacities. Levels of stakeholder engagement also remained low to moderate for the NUPs examined.
- In most regions, a lack of resources (human, technical and financial) was the most difficult challenge to successfully implementing NUP, which calls for more detailed research on implementation and capacity gaps, as well as the instruments and best practices available to overcome them.

Source: UN-HABITAT/OECD (2018), *Global State of National Urban Policy*, https://dx.doi.org/10.1787/9789264290747-en.

Objectives of the report

In view of conducting periodic monitoring of NUP at the global scale, the OECD, UN-Habitat and Cities Alliance have decided to jointly develop the second edition as a key output of the Workplan 2019-2020 of the NUPP. An overarching objective is to assist national governments in advancing their NUP processes, especially in creating a stronger link between NUP and urban-related global agendas, and in mainstreaming climate action into NUP. More specifically, this report aims to:

- Define common methodologies to analyse different forms, stages of development, thematic areas of focus, as well as implementation of NUP and to provide state-of-the-art and comprehensive monitoring of NUP at the global scale.
- Benchmark the progress of NUP across peer countries and inform future actions to advance NUP processes.
- Understand the current governance structure of NUP in countries and identify policy and capacity gaps to effectively advance NUP.

- Provide in-depth analysis and assessment on the roles of NUP to advance the SDGs and climate action.
- Assist local, regional, national governments and international institutions to better understand the current state of NUP at the global scale and where future support effort should be directed.
- Highlight key evidence and successful NUPs to support improved comparative learning on pitfalls to avoid and good practices to replicate.

Methodology

Overview

In order to ensure continuity, the same methodological framework as the first edition is applied for this report, including the five categories for the stage of development of NUP. At the same time, this report introduces methodological improvements in order to lead to more accuracy and improved relevance, as well as to increase engagement of countries in the process. Major improvements include:

- **Country inputs and feedback**. The first edition largely relied on expert assessment with limited direct inputs from countries for data collection, except for a dedicated country survey and peer-review at the OECD Working Party on Urban Policy for OECD countries. For greater accuracy of information and a more participatory approach, this report engaged countries more extensively throughout the monitoring and drafting process. In particular, the second edition relies on a **common country survey** sent to all United Nations Member States. In addition, key findings and earlier drafts were shared and cross-checked with the respective countries and peer-reviewed in several fora (e.g. meetings of NUPP partners, meetings of the OECD Working Party on Urban Policy).
- **Supplementary data and information**. While the country survey provides the primary source, this report also includes expert assessment gathered through desk research, relating to the form, development stage and thematic scope of NUP (only the five main themes, not sub-themes), as well as national urban agencies. Data and statistics were derived from government databases and websites, other country-level NUP studies and reviews and from partner institutions of the National Urban Policy Programme, including OECD National Urban Policy Reviews and the UN-Habitat NUP database.
- **Monitoring and evaluation of SDG target 11.a**. This report assesses whether or not NUPs contain the elements of the newly revised indicator 11.a.1, which relates to the "number of countries that have national urban policies or regional development plans that: (a) respond to population dynamics, (b) ensure balanced territorial development, (c) increase local fiscal space".
- **In-depth analysis on NUP's contribution to climate action and resilience**. This report includes a deep-dive on climate-related risks in cities to help drive the low-carbon transition in cities, and advice on how NUP frameworks can effectively support local climate action. Greater attention to NUP's contribution to urban climate resilience and low-carbon transition had been identified as a way forward in the first edition of the global monitoring.
- **Expert group**. An expert group consisting of academics, practitioners and international organisations was set up to support the peer-review process.

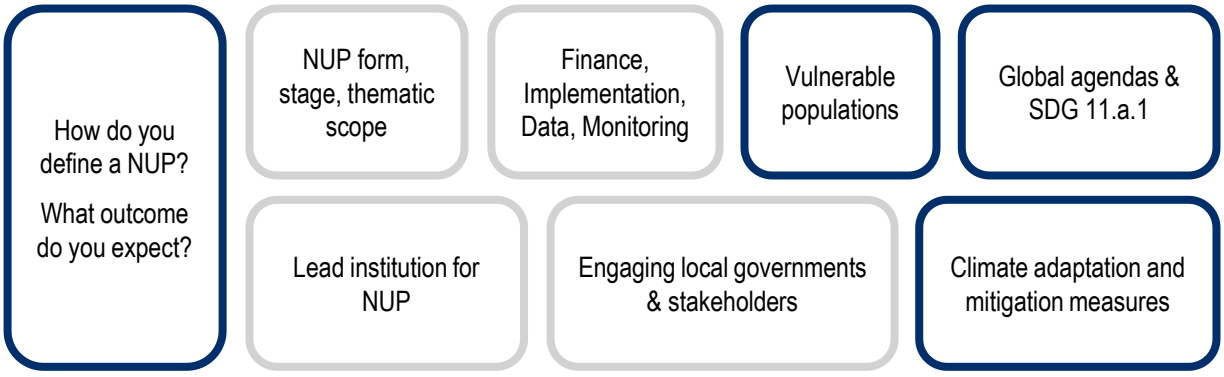
NUP country survey

A joint OECD, UN-Habitat and Cities Alliance **NUP country survey** was designed in 2019 and carried out in 2020, in consultation with several experts, OECD countries (Canada, France, Italy, Mexico, Norway, Poland and the United States) and NUPP partners. It consists of 40 questions addressing both topics

covered in the first edition of the report (e.g. NUP form and stage, stakeholder engagement) as well as new topics (e.g. definition of a NUP, SDGs, climate action and resilience) (Figure 1.1 and Box 1.1):

- *Questions 1-3* aimed to map the varied **policy environment** surrounding NUP in the world, taking into account the diversity of institutional settings in which NUP is embedded.
- *Questions 4-9* addressed key **characteristics of NUP**: form, characteristics, stage of development and thematic scope. Where feasible, results were compared with the data from the first edition to understand key trends in the evolution of NUP at the global scale.
- *Questions 10-17* related to **alignment, co-ordination and engagement** of sub-national governments and stakeholders in the NUP process.
- *Questions 18-25* asked how countries have deployed **legal and institutional frameworks, financial and capacity-building instruments** for effective implementation of NUP, as well as monitoring and evaluation mechanisms.
- *Questions 26-31* were dedicated to linking **NUP and global agendas**, with special attention to SDGs. They provided an assessment of how NUP contributes to the achievement of SDG target 11.a and other global urban agendas.
- *Questions 32-40* collected new data and information regarding how countries integrate **urban climate resilience and the low-carbon transition** into NUP.

Figure 1.1. Key questions addressed in the joint NUP country survey



Note: Boxes outlined in dark blue are new themes covered in the NUP country survey prepared for this report. The boxes outlined in grey were covered in the first edition of the report and were hence also included in the survey and in this report.

Box 1.2. NUP Country Survey: 40 questions

Mapping the policy environment for NUP

Q1. Does your national government have a definition of a NUP?
Q2. What are the three major outcomes you hope to achieve through a NUP?
Q3. What competences and responsibilities for urban policies / urban development does your national government have?

Key characteristics of NUP

Q4. Does your country have, or is in the process of developing, an explicit NUP?
Q5. Does your country have other national-level policies with a focus or a major impact on urban areas?
Q6. Does your country have policies that affect your country's urban areas but not at the national scale?
Q7. Please use the box below to provide your country's profile on the current NUP, highlighting recent changes.
Q8. In which stage of development is your NUP?
Q9. Does your NUP have a theme(s)? What level of attention does it grant to the following themes?

Alignment and co-ordination

Q10. Which national ministry/agency is leading your NUP process?
Q11. What mechanisms exist to align your NUP with other sectoral policies at the national level?
Q12. What mechanisms exist to ensure vertical policy alignment between the NUP and sub-national plans and policies?
Q13. What mechanisms exist in your NUP to facilitate horizontal policy alignment among local governments in and between urban areas?

Engagement of sub-national governments and stakeholders in the NUP process

Q14. Have sub-national governments been engaged with/contributed to each phase of the NUP process? If so, to what extent?
Q15. Have non-governmental stakeholder groups been engaged in different phases of the NUP process? If so, to what extent?
Q16. What means have been/are being used to ensure the participation of urban residents in the NUP process?
Q17. Have special measures been included in the NUP process to ensure that your NUP is sensitive to vulnerable urban populations?

Implementation

Q18. Which implementation mechanisms exist for your NUP?
Q19. What are the greatest challenges you face for implementing your NUP at the national level?
Q20. What are the major sources for financing which have been/are being used to implement your NUP?
Q21. To what extent is the implementation of your NUP dependent on sub-national governments?
Q22. What are challenges faced by sub-national governments, a key implementation partner of your NUP?

Data collection, monitoring and evaluation

Q23. What kind of data do you use for your NUP process?
Q24. Which monitoring and evaluation frameworks currently exist for your NUP process?
Q25. How have you used or do you intend to use the results of the monitoring and evaluation of your NUP?

NUP and global agendas

Q26. Please indicate which of the following international agreements your NUP refers to or intends to help achieve.
Q27. Does your NUP and Regional Development Plan meet the SDG 11.a target?
Q28. Which other SDGs is your NUP contributing to?

Q29. Is the leading NUP ministry/agency also responsible for the implementation and monitoring of SDG 11 in your country?
Q30. Are SDG targets and indicators integrated in your NUP monitoring and evaluation framework?
Q31. Please share a few examples of successful practices / lessons learned in your NUP that promotes its alignment with the global agendas.

The Role of NUP in Urban Climate Resilience and the Low-Carbon Transition

Q32. Is climate change explicitly addressed in your NUP?
Q33. What are or have been the challenges or obstacles to integrating climate change in your NUP?
Q34. Please use the box below to provide a detailed description of how your NUP is addressing climate change.
Q35. What are the key objectives of mainstreaming climate action in your NUP?
Q36. Which urban low-carbon transition/mitigation actions are addressed by your NUP?
Q37. Which urban climate adaptation actions are addressed by your NUP?
Q38. Which mechanisms (regulatory, fiscal, information, etc.) are used to implement the climate action in your NUP?
Q39. Which mechanisms exist to co-ordinate climate action (across sectors, across levels of government) in your NUP?
Q40. Have special measures been included in the NUP process to ensure that your NUP can improve the resilience of vulnerable urban populations to the impacts of climate change?

The survey was shared with OECD member countries at the 26th session of the OECD Working Party on Urban Policy (20 November 2019) and with all the United Nations Member States through their Permanent Missions by the UN-Habitat Governing Bodies Secretariat in December 2019. Cities Alliance also circulated the survey to their government member countries (Brazil, Chile, France, Germany, Ghana, South Africa, Sweden, Switzerland, Uganda, United Kingdom and United States). The survey was available in English, French and Spanish and contained 40 questions. Responses were collected between January and June 2020. Overall, 86 countries submitted consolidated responses.

Definitions

NUP

This report applies the same definition as the first edition of the report: a NUP is defined as “a coherent set of decisions derived through a deliberate government-led process of co-ordinating and rallying various actors for a common vision and goal that will promote more transformative, productive, inclusive and resilient urban development for the long term” (UN-HABITAT/OECD, 2018[1]). However, given the fact that a variety of NUP definitions exist across countries, the report also collected such definitions through the NUP country survey to better understand the diverse contexts surrounding NUPs in different countries (Chapter 1).

Form of NUP

An **explicit NUP** has been defined as a policy with “a title of ‘national urban policy’ or variant such as ‘national urbanisation policy’ or ‘national urban strategy’ or ‘national urban development strategy’ (UN-HABITAT/OECD, 2018[1]). This survey collects key information on existing explicit NUPs (Chapter 3).

The first edition of the report included a “partial, or implicit NUP” category to acknowledge that a policy document that is not explicitly labelled as NUP could, in practice, function as a NUP. Defined as having “many of the elements of a NUP but not yet brought together as a formal, or explicit NUP” (UN-

HABITAT/OECD, 2018[1]). This term is no longer used in this second report. Rather, to account more comprehensively for the impact of national level policies affecting urban areas, the report analyses other **national-level policies with a spatial focus on urban areas or an important impact on urban areas** (Chapter 3). These include, for example, national development strategies with some dedicated focus on urban areas or national-level sectoral policies and plans (e.g. housing, energy, transport, land-use) with elements addressing the urban level (e.g. a national-level transport plan incentivises the use of electric vehicles in urban areas or that grants priority to urban infrastructure development). Including such information in the analysis is crucial to better understand the broader spectrum of national level urban policies, in particular for certain federal or highly decentralised countries where policy documents that are "comparable" to an explicit NUP exist at either the state level or the regional level rather than at the national level.

Characteristics of NUP

To complement the analysis of the form of NUP, this report also assesses the content of NUP based on key characteristics elaborated out of NUP consideration in the New Urban Agenda and its Action Framework for the Implementation, the Habitat III Policy Paper 3 on National Urban Policies, and the OECD Principles on Urban Policy (Chapter 3). According to these, NUPs usually:

- Define a strategic, long-term and shared vision for national urban development.
- Apply an integrated territorial perspective, promoting a system of cities approach and connectivity between urban and rural areas.
- Integrate and co-ordinate cross-sectoral policies (urban economy, social inclusion, climate change, technological innovation, etc.).
- Develop co-ordination mechanisms among and across levels of government, clarifying roles, responsibilities and resources.
- Develop implementation mechanisms with legal, regulatory and financial tools and supports capacity development.
- Ensure and promote the engagement and participation of sub-national governments and stakeholders (citizens, the private sector, academics, etc.).
- Rely on robust urban scale data and ensure regular monitoring and evaluation.

Stage of development of NUP

Similar to the first edition, this report divides the stages of development of the NUP process into five categories: "feasibility", "diagnosis", "formulation", "implementation" and "monitoring and evaluation".

- "Feasibility", the first stage, refers to the period when the country is making the case for NUP and beginning to build stakeholder support and political will for this vision.
- "Diagnosis", the second stage, refers to the period when the country is conducting preliminary analyses to create a NUP.
- "Formulation", the third stage, refers to the period when the NUP is being drafted.
- "Implementation", the fourth stage, refers to the period when the NUP is being put into action.
- "Monitoring and evaluation", the final stage, refers to the period when the outcomes of the NUP are being analysed and evaluated.

Thematic scope of NUP

In the first edition of the report, the thematic scope of NUP was analysed by assessing the degree of attention to five themes: economic development, spatial development, human development, environmental

sustainability and climate resilience. The degree of attention devoted to each theme in a NUP (in formulation stage or beyond) was assessed on a scale from low to moderate and to extensive. Below are new principles that guided this assessment in this report. These guiding principles are based on clear criteria and hence mark a methodological improvement compared with the assessment conducted in the first edition of the report.

- The “low” category indicates that the thematic area is either not or only briefly mentioned as a concern in the NUP, without much information on the situation nor any guidance or direction for action.
- The “moderate” category corresponds to cases in which the NUP provides a clear understanding of the situation relating to the thematic subsection and related opportunities and challenges. For instance, the NUP provides background and analysis of the situation, as well as objectives and general directions to improve it.
- The “extensive” category indicates strong importance given to the thematic area, by giving it a prominent place among the objectives of the NUP, providing a detailed analysis of the situation, concrete goals and targets, as well as implementation measures to achieve them (e.g. indicators, roadmap, timeline, budget, etc.).

In this report, these five main themes were complemented by 20 sub-themes (see Table 3.2) for the countries responding to the NUP country survey. Each sub-theme was also assessed according to the “low/moderate/extensive” degree of attention and corresponding principles.

Sub-national government engagement/contribution in NUP

The extent of the engagement/contribution by sub-national governments throughout the NUP process is determined by the roles and responsibilities they have, the opportunities to participate in different stages of NUP, and by their capacity to fulfil such roles and responsibilities. In the first edition of the report, the extent of engagement was assessed at the level of global regions (e.g. Asia and the Pacific), but not at the level of countries as was done in this report. In addition, this report also assessed the extent of engagement according to the new following guiding principles:

- A “low level” of engagement/contribution corresponds to limited participation opportunities in the NUP process. For example, the implementation phase corresponds to a situation where sub-national governments have limited roles and responsibilities to implement a NUP, with limited regulatory, financial and institutional prerogatives.
- A “moderate level” of engagement/contribution entails clear roles and responsibilities given to sub-national governments, allowing them to have the opportunity and the capacity to substantially contribute to each phase. For instance, sub-national governments are fully consulted for the identification of problems and policy priorities, and are able to provide local knowledge and data to support national government decisions.
- An “extensive level” of engagement/contribution indicates a strong vertical collaboration between level of government, whereby sub-national governments are co-creators and joint implementers of NUP, and actively help adapt it to local needs and contexts.

Stakeholder engagement in the NUP process

Stakeholder engagement can occur throughout all phases of the NUP process and this report therefore assesses the extent of stakeholder engagement in each stage of the NUP process. In the first edition of the report, only qualitative assessments were provided per global region, not at the country level. In addition, this report defines three broad categories of non-governmental stakeholders that can be engaged in the NUP process: the private sector, academia and civil society.

- The private sector refers to individuals, for profit and commercial enterprises or businesses, manufacturers and service providers, business associations and coalitions, and corporate philanthropic foundations.
- Academia refers to education and research institutions, some of which are not-for-profit organisations.
- Civil society refers to a range of non-governmental and not-for-profit organisations that have a presence in public life and that express the interests and values of their members based on ethical, cultural, political, religious or philanthropic considerations. It includes non-profits, community organisations, charities, trade unions, faith-based organisations, indigenous groups and social movements.

The extent of engagement can be determined by the opportunities and capacities that stakeholders are given to participate in and contribute to each stage of the NUP process. The guiding principles below were a new addition to GSNUP 2020, and provide an indication of how the extent of stakeholder engagement in the different stages of the NUP cycle was assessed in this report:

- A “low level” of engagement indicates that stakeholders are either not involved at all, simply provided general information, or offered limited opportunities to comment on the NUP process (e.g. public hearing, online consultation).
- A “moderate level” of engagement refers to a more targeted and institutionalised process of engagement, with the consideration of different stakeholder groups’ perspectives and opportunities for substantial inputs through representatives and/or consultation platforms.
- An “extensive level” of engagement entails collaborative partnership between stakeholder groups and the national government. They can participate in policy dialogues, provide feedback and sometimes affect important decisions at different stages of the NUP process.
    - For academia for instance, extensive engagement in the diagnosis phase would entail full participation in the process of data collection and analysis; an example of extensive engagement in the formulation phase would be co-drafting.
    - An extensive engagement of civil society in the monitoring and evaluation phase would mean that civil society organisations fully participate alongside the government in the analysis and evaluation of the impact of the NUP implementation, and that their feedback and experiences are thoroughly considered in the assessment.
    - For the private sector, an extensive level of engagement in implementation would mean co-ownership and co-financing, with the private sector actively participating in the achievement of NUP objectives on the ground through investment and public-private partnerships for instance.

Country coverage

The NUPs analysed throughout this report were identified through the NUP country survey (86 NUPs) and desk research (76 NUPs) (Table 1.1). Regional groupings in this report follow the new regional groupings based on United Nations Standard Country and Area Codes (M49) Classifications, with several modifications in order to more adequately align with UN-Habitat regional groupings, which are reflected in

the UN-Habitat World Cities Report: Africa; Asia and the Pacific; Arab States; Europe and North America; Latin America and the Caribbean.

Table 1.1. Countries covered in the global monitoring of NUP, per region

Region	Countries with identified NUPs through the country survey (86)	Countries with identified NUPs through desk research (76)	Countries with insufficient information (31)
Africa (48)	Burkina Faso, Cabo Verde, Eswatini, Ethiopia, Ghana, Madagascar, Malawi, Namibia, Nigeria, Rwanda, Sao Tome and Principe, Senegal, Tanzania, Zambia	Angola, Botswana, Burundi, Cameroon, Chad, Comoros, Congo, Cote d'Ivoire, Democratic Republic of the Congo, Djibouti, Eritrea, Gabon, Gambia, Guinea, Kenya, Liberia, Mali, Mauritania, Mauritius, Mozambique, Somalia, South Africa, South Sudan, Togo, Uganda, Zimbabwe	Benin, Central African Republic, Equatorial Guinea, Guinea Bissau, Lesotho, Niger, Seychelles, Sierra Leone
Asia and the Pacific (50)	Armenia, Australia, Azerbaijan, Iran, Israel, Japan, Kazakhstan, Myanmar, Nepal, New Zealand, Philippines, Republic of Korea, Thailand, Turkey, Turkmenistan	Afghanistan, Bangladesh, Bhutan, Brunei Darussalam, Cambodia, China, Fiji, India, Indonesia, Kiribati, Kyrgyzstan, Laos, Malaysia, Maldives, Marshall Islands, Micronesia, Mongolia, Nauru, Pakistan, Palau, Papua New Guinea, Samoa, Singapore, Solomon Islands, Sri Lanka, Timor-Leste, Tonga, Tuvalu, Uzbekistan, Vanuatu, Viet Nam	Cyprus, North Korea, Georgia, Tajikistan
Arab States (17)	Algeria, Jordan, Kuwait, Lebanon, Morocco, Saudi Arabia, Tunisia,	Bahrain, Egypt, Iraq, Libya, Oman, Qatar, Sudan, Syria, United Arab Emirates, Yemen,	
Europe and North America (45)	Austria, Belgium, Bulgaria, Canada, Croatia, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Montenegro, Netherlands, Norway, Poland, Portugal, Romania, Russian Federation, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Ukraine, United Kingdom, United States,	Albania, Belarus, Bosnia and Herzegovina, Republic of Moldova	Andorra, Lichtenstein, Monaco, North Macedonia, San Marino
Latin America and the Caribbean (33)	Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru	Argentina, Dominican Republic, El Salvador, Uruguay, Venezuela	Antigua and Barbuda, Bahamas, Barbados, Belize, Dominica, Grenada, Guyana, Haiti, Jamaica, Saint Kitts and Nevis, Saint Lucia, Saint Vincent and the Grenadines, Suriname, Trinidad and Tobago

References

OECD (2020), "Cities policy responses", *OECD Policy Responses to Coronavirus (COVID-19)*, OECD, Paris, http://www.oecd.org/coronavirus/policy-responses/cities-policy-responses-fd1053ff/. [5]

OECD (2019), *20 Years of Urban Policy at OECD*, OECD, Paris, https://www.oecd.org/cfe/urban-policy-oecd.pdf. [4]

OECD (2014), *OECD Regional Outlook 2014: Regions and Cities: Where Policies and People Meet*, OECD Publishing, Paris, https://dx.doi.org/10.1787/9789264201415-en. [3]

OECD/European Commission (2020), *Cities in the World: A New Perspective on Urbanisation*, OECD Urban Studies, OECD Publishing, Paris, https://dx.doi.org/10.1787/d0efcbda-en. [2]

UN-HABITAT/OECD (2018), *Global State of National Urban Policy*, OECD Publishing, Paris/United Nations Human Settlements Programme, Nairobi, https://dx.doi.org/10.1787/9789264290747-en. [1]

Note

[1] The *Action Framework for the Implementation of the New Urban Agenda* (AFINUA) identified the following five pillars for implementation: (1) national urban policies; (2) urban legislation, rules and regulations; (3) urban planning and design; (4) urban economy and municipal finance; and (5) local implementation.

2 Perception of NUPs in today's policy environment

This chapter examines perceptions of national urban policy (NUP) in policy environments across countries. Definitions of NUP and key outcomes countries aim to achieve vary, but they commonly refer to a coherent set of decisions towards a common vision for urban development and to facilitate inter-sectoral and inter-regional co-ordination. The COVID-19 crisis raised the profile of NUP as key to more resilient, greener and more inclusive cities and part of countries' recovery packages. Beyond the public health emergency, the pandemic prompted cities to rethink how they deliver services, how they plan their space and how they can resume economic growth. Overall, the chapter underlines the need for more granular and contextualised NUP monitoring and for sharing knowledge and experience on NUP through multi-stakeholder dialogues, peer-learning and collaboration in global platforms.

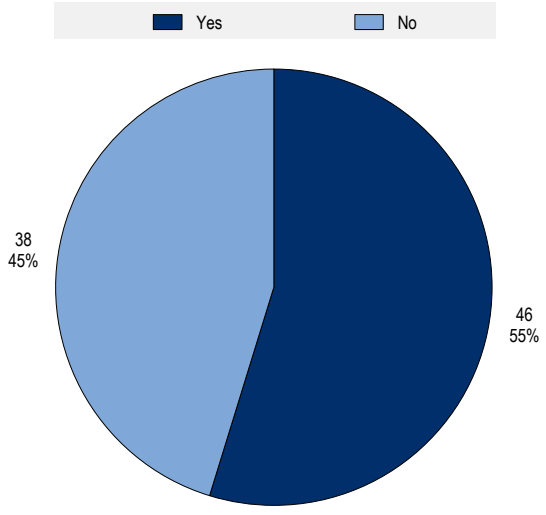
Key findings

- Countries have different definitions of national urban policy (NUP), ranging from outcome-based, such as sustainable urban development and social inclusion, to process-based, such as stakeholder engagement. 55% of responding countries have their own definition of NUP.
- Countries aim to achieve diverse outcomes through NUP. The most common are "balanced territorial and urban development in a country" (55%), "a coherent vision for national urban development" (44%) and "improved policy co-ordination across sectors" (31%).
- Unitary and federal countries differ in institutional contexts for NUP. In federal countries, state and provincial governments generally have strong responsibility for urban policy, though national governments play an important role for capacity development and financial/technical support. Unitary countries demonstrate both centralised and decentralised approaches.
- The most common competence of national governments for NUP is regulatory responsibility (89%), followed by legislative capacity (70%), national-level land use planning (60%), co-ordination (57%) and fiscal capacity for urban development (34%).
- Aligning national and sub-national urban policies is crucial for both levels of government. Sub-national urban policies mobilise actions, strategies and resources of the national agenda towards specific local contexts and objectives, and thus form part of a systemic national urban policy framework.

National definitions of NUP

Definitions of national urban policy (NUP) vary across countries in terms of content and objectives. In total, 46 countries out of 84 surveyed (55%) have their own definition of NUP (Figure 2.1).

Figure 2.1. Countries with a formal definition of National Urban Policy, n = 84



Note: No information was available for two countries out of the 86 survey respondents. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

The analysis of NUP definitions shows that many countries apply outcome-based dimensions (Box 2.1). For example, 11 countries refer to "sustainability" and "environmental sustainability" within their NUP definitions. Another frequent objective is "quality of life for citizens". Some countries, such as **Brazil** and **Nigeria** mention "well-being". The **Netherlands** specifically mentions "healthy" in the perspective for 2050 and priorities of the National Strategy on Spatial Planning and the Environment (Ministry of the Interior and Kingdom Relations of the Netherlands, 2019[1]) (see Box 7.2). Other countries attribute an important role to social cohesion or equitable development in urbanisation strategy:

- In **France**, the NUP definition states that urban policy is about cohesion and solidarity, targeting disadvantaged areas.
- **Panama's** definition mentions orientation towards an adequate spatial structure for the equitable development of society.
- In **Algeria**, territorial and social equity are key goals of the National Land Use Planning Scheme and the Law on the Orientation of the City respectively, and two of the six directives on which the country bases its NUP.
- **Brazil** is in the process of formulating a national urban development policy, which aims to reduce socio-spatial inequalities at intra-urban and supra-municipal scales, and across cities.

Certain developing countries highlight the need for economic growth and inclusive urban development. In **Rwanda**, for example, one pillar of the overarching NUP document is economic growth through a coherent sectoral policy. **Jordan**, **Myanmar** and **Zambia** refer to "productive and inclusive development".

Box 2.1. Selected examples of national definitions of NUP

Burkina Faso, "National Policy on Housing and Urban Development", Decree n2008-431, MHU July 14, 2008:

"The policy of organizing the national urban system, controlling urban growth, producing sustainable urban spaces, organizing and improving conditions for access to land and basic urban services and promoting decent housing."

Cabo Verde, "National Policy on Spatial Planning and Urbanism (PNOTU)", 2019:

"The National Urban Policy in Cabo Verde is the long-term document that, based on the problems found in a diagnosis of the current territorial conjuncture, establishes the political guidelines for planning of the country's territory and urbanism, having strategic and programmatic dimensions, in addition to dealing with legal and institutional issues. In addition, it allows the national and local governments to be guided in the urbanisation process and constitutes a guiding instrument that establishes a clear and co-ordinated view of the directions that public policies must take around the territorial development of cities. PNOTU is also an opportunity to lay the foundations for a nationally co-ordinated urban development plan that includes contributions from various entities in the public and private sectors."

Cuba, "Cuban Urban Policy", National Land Planning Scheme, Dec 2018:

"Cuban urban policy promotes the development of compact structures that guarantee maximum use of the internal growth potential of cities and other settlements; increase densities; optimize existing technical networks and services; and encourage the recovery and growth of the housing fund."

Finland, unofficial definition from early 2000s:

"Urban policy is defined as initiatives and actions carried out together between the national government and cities."

France, "Programming Act for the City and Urban Cohesion", 2014:

"Urban policy is a policy of urban cohesion and solidarity, both national and local, towards disadvantaged areas and their inhabitants. It is deployed in suburban territories called 'priority urban policy areas', characterised by a significant gap in economic and social development with the rest of the conurbations in which they are located."

Germany, "Ten years after the Leipzig Charter", 2012:

"The National Urban Development Policy is a joint initiative of the Federal Ministry of the Interior, Building and Community, the Conference of German Building Ministers, the German Association of Cities and the German Association of Towns and Municipalities. It aims to bring together actors and interested parties around the topic of the city and is therefore considered as a communication platform, covering current social and urban trends, picking distinctive action and solution approaches (including innovative pilot projects) and serving on the whole as a basis for experience exchange."

Guatemala, three national instruments constituting national urban policy, 2016, 2017, 2020:

"Guatemala has three national instruments that constitute the country's urban policy: the Urban Agenda GT, The National Policy on Housing and Human Settlements, and the Policy for the Comprehensive Improvement of Neighbourhoods, the two latter pending government agreement. It defines the need to articulate the three scales of urban planning (housing, neighbourhood and city); the opportunity to strengthen a national urban network; and the opportunity to articulate planning, urban development, land use and risk management processes within the framework of environmental sustainability."

Morocco, "Government Statement, National Urban Development Strategy", 2007:

"Urban development is a broad concept, developed in the long term to indicate what future seems both desirable and achievable to local actors. It includes all forms of activity (economic, social, cultural, environmental, etc.) and encompasses all sectors deemed relevant to changing the urban development trajectory and directing it towards a more accomplished form that is more capable of ensuring better living conditions for the population."

Panama, "Panama's National Land Use Policy", MIVIOT Resolution 468-2019 June 27, 2019:

"Integration of socio-economic with physical planning, oriented to the transformation of space; that must be oriented towards the 'achievement of the adequate spatial structure for the effective and equitable development of the economic, social, cultural and environmental policy of society'; strengthening the link between land use planning, urban and rural planning, environmental sustainability and economic-social development."

Poland, "National Urban Policy 2023", 2015:

"National Urban Policy is a document defining the planned activities of government administration regarding urban policy, taking into account the objectives and directions set out in the medium-term national development strategy and the national regional development strategy. It serves the purposeful, territorially directed operation of the state for the sustainable development of cities and their functional areas and the use of their potentials in the country's development processes."

Portugal, "Sustainable Cities 2020" strategy, Law no. 99/2019 effecting the first revision of the National Spatial Planning Policy Programme:

"Grounded in the sustainable urban development paradigm, the Sustainable Cities 2020 strategy should be understood as a territorial development policy, where the involvement and commitment of a wide variety of stakeholders is an essential condition, so as not to restrain the focus of interventions to the material aspect of urban areas, instead extending it to higher policy designs such as economic

development, social inclusion, education, citizen engagement and environmental protection. […] These strategies should include social cohesion, innovation and employment policies and provide ways to achieve environmental sustainability."

Serbia, "Sustainable Urban Development Strategy of the Republic of Serbia 2030", 2014:

"Urban Development Policy is a public policy that represents the key instrument for achieving sustainable urban development by the use of an integrated approach. As urban development in each country individually is the result of activities and decisions in different sectors, the main task of the Urban Development Policy is to establish co-ordination over different sectors and define priorities by co-ordinating the needs and interests of different actors. National Urban Development Policy, according to modern definitions, represents a coherent set of decisions, guided by the national government through the process of co-operation of various actors in formulating a common vision and common goals, which are used to direct long-term transformative, productive, inclusive and resilient sustainable urban development."

Turkey, "Integrated Urban Development Strategy and Action Plan (KENTGES) 2010-2023", 2009:

"Urban Development Strategy (KENTGES) is a strategy document, having the nature of a reference framework document at the national level. KENTGES is an urbanisation and reconstruction vision of our country considering the issues of spatial planning, settlements and housing, which targets the year 2023. The main purpose of KENTGES is to improve the liveability as well as the quality of space and life in settlements and to establish a roadmap for strengthening of economic, social and cultural structures of settlements. It provides a roadmap for both central and local administrations in issues of urbanisation and planning."

Note: figures are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020

In contrast, some countries apply process-based dimensions to their NUP definitions. They put emphasis on stakeholders and see NUPs more as processes and platforms.

- For **Finland**, urban policy is about initiatives and actions carried out together between the national government and cities.
- **Cabo Verde**'s NUP represents an opportunity for contributions from various entities in public and private sectors to lay foundations for nationally co-ordinated development.
- **Germany** considers the National Urban Development Policy a joint initiative bringing together actors and interested parties around the topic of the city, and a collective communication platform.
- **Portugal** highlights the role of stakeholders for the successful governance and implementation of urban-related programmes.

Other countries link NUP with urban-related global agendas such as the 2030 Agenda for Sustainable Development and the New Urban Agenda (NUA):

- **Algeria** bases its NUP on strategic national and international roadmaps, including the Sustainable Development Goals (SDG 11 in particular), the United Nations Framework Convention on Climate Change, and others derived from the United Nations Office for Disaster Risk Reduction.
- In **Costa Rica**, the NUP gives political orientation to implement the NUA and achieve the SDGs, particularly from the point of "resilient infrastructure and sustainable communities".
- For **Ecuador**, the National Urban Agenda will establish synergies with global agendas such as the SDGs, the Sendai Framework for Disaster Risk Reduction, and the Paris Agreement.

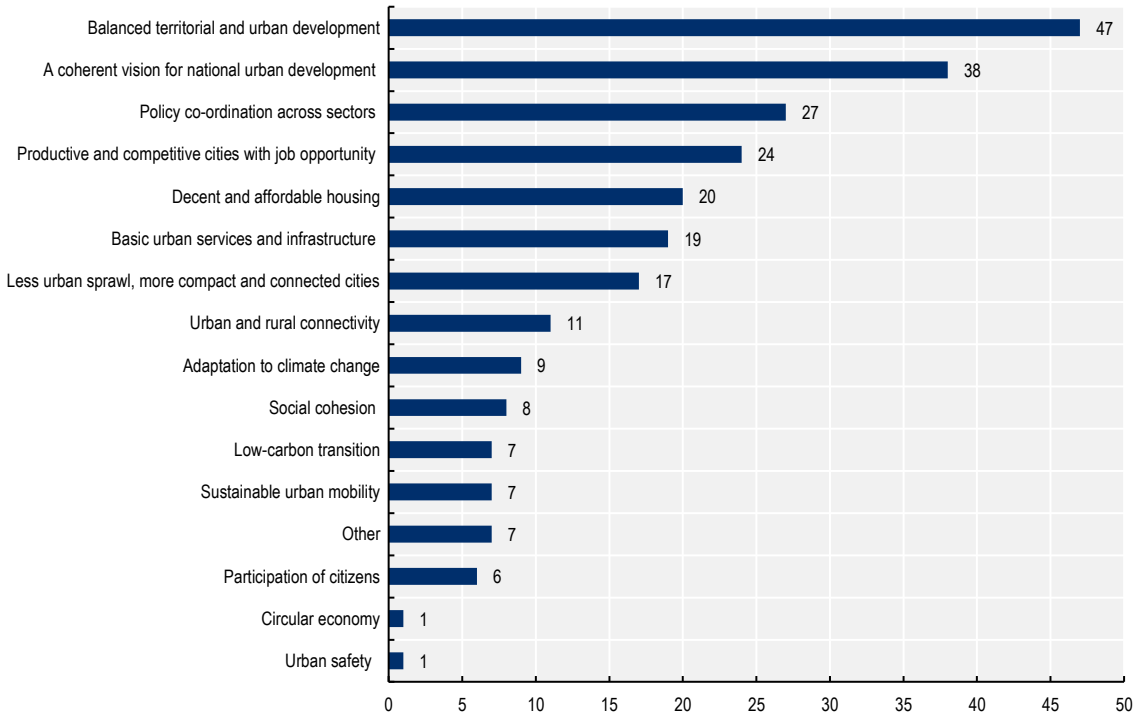
- In its NUP, **Iran** recognises the SDGs as a means to provide a better quality of life for Iranian citizens.
- The National Urban Development Policy of **Nigeria** is aligned with the NUA, its Action Framework for implementation and other global agendas on sustainable urbanisation.
- **Spain** aims to include NUA principles in its NUP.

Expected outcomes of NUP

Surveyed countries expect diverse outcomes from NUP. Respondents considered the three most relevant to be: (1) "balanced territorial and urban development in a country" (47 out of 86 responding countries, or 55%), (2) "a coherent vision for national urban development" (38 countries, 44%), and (3) "improved policy co-ordination across sectors" (27 countries, 31%) (Figure 2.2).

The next two most expected outcomes of NUP were "productive and competitive cities with job opportunity" (24 countries, 28%) and "decent and affordable housing" (20 countries, 23%). The **United States** identified "reduced regulatory burden in housing production" and "increased economic opportunity for low-income people" as key expected outcomes of NUP. **Canada** underscored "decent and affordable housing", "sustainable urban mobility" and "better urban-rural connectivity". **Israel** and **Poland** aim for "quality of life" through NUP; **Cabo Verde**, reduction in poverty and inequality; **Japan,** further interaction between citizens and stakeholders; and the **Netherlands,** "liveable and sustainable cities".

Figure 2.2. Key outcomes countries aim to achieve through NUP, n = 86



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. Respondents were asked to select three responses.

In-depth analysis of five global regions reveals broad agreement on certain priorities (especially coherent vision for national urban development and balanced territorial and urban development) and some geographical diversities regarding the expected outcomes for NUP (Table 2.1):

- In **Africa**, the top three expected outcomes are a coherent vision for national urban development (8 out of 14 responding countries, or 57%), followed by balanced territorial and urban development (7 countries, 50%), and improved basic urban services and infrastructure (6 countries, 43%).
- In the **Arab states**, decent and affordable housing is an important driver in NUP (4 out of 7 responding countries, or 57%), as is a coherent vision for national urban development (3 countries, 43%), balanced territorial and urban development (3 countries, 43%), and sectoral policy co-ordination (3 countries, 43%).
- In **Asia and the Pacific**, countries seek to achieve balanced territorial and urban development (7 out of 15 responding countries, or 47%), develop a coherent vision for national urban development (6 countries, 40%), and improve basic urban services and infrastructure (6 countries, 40%).
- **European and North American** countries highlight balanced territorial and urban development (23 out of 36 responding countries, or 64%), a coherent vision for national urban development (16 countries, 44%), and productive and competitive cities (13 countries, 36%).
- **Latin American and Caribbean** countries emphasise improved policy co-ordination across sectors (9 out of 14 responding countries, or 64%), balanced territorial and urban development (7 countries, 50%), and a coherent vision for national urban development (5 countries, 36%), reflecting their strong expectation of the co-ordinating role of NUP. They also focus urban policies on reducing urban sprawl, improving urban services and infrastructure, and on decent and affordable urban housing (4 countries each, 29% each).

Table 2.1. Key outcomes identified to achieve through NUP, by global region, n = 86

Number of countries selecting a given outcome

	Africa (n = 14)	Asia and the Pacific (n = 15)	Arab states (n = 7)	Europe and North America (n = 36)	Latin America and the Caribbean (n = 14)
Urban safety	0	1	0	0	0
Circular economy	0	0	0	1	0
Participation of citizens	0	2	0	3	1
Other	1	3	0	3	0
Sustainable urban mobility	1	0	1	4	1
Low-carbon transition	1	1	0	5	0
Social cohesion	0	1	0	6	1
Adaptation to climate change	1	2	2	2	2
Urban and rural connectivity	2	2	2	4	1
Less urban sprawl, more compact and connected cities	2	3	1	7	4
Basic urban services and infrastructure	6	6	0	3	4
Decent and affordable housing	5	3	4	4	4
Productive and competitive cities with job opportunity	4	2	2	13	3

	Africa (n = 14)	Asia and the Pacific (n = 15)	Arab states (n = 7)	Europe and North America (n = 36)	Latin America and the Caribbean (n = 14)
Policy coordination across sectors	3	5	3	7	9
A coherent vision for national urban development	8	6	3	16	5
Balanced territorial and urban development	7	7	3	23	7

Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. Respondents were asked to select three responses.

Institutional context for NUPs

Countries vary widely regarding institutional arrangements and the distribution of competences and responsibilities for urban policies across levels of governments. Understanding the diversity is crucial for a contextualised assessment of NUP at global scale.

The answers to the NUP country survey demonstrate that whether a country has a unitary or federal governance structure creates a distinct difference in competence at the national level. However, there are also interesting variations among federal states or among unitary states regarding roles and responsibilities for urban policy across different levels of government.

In most federal countries, state and provincial governments have significant responsibility for urban policy and play a key role in urban development. However, in some countries, federal governments work closely with state and local jurisdictions on urban matters and play a substantive role (Box 2.2). Unitary states also vary in institutional arrangements. National governments in some countries maintain responsibility for urban policy, while others employ more decentralised approaches. In both cases, most governments in unitary states make efforts to find a balance between bottom-up and top-down approaches (Box 2.3).

Analysis by global region shows geographical commonalities, although there are country variations. **African countries** report a general tendency towards centralised institutional settings, with less institutional capacity in regional and local governments, for example in Malawi, Rwanda and Senegal. In the **Arab states**, national governments demonstrate strong national competence in urban matters and increasingly work with local and regional governments. In **Europe and North America**, most countries take a decentralised approach, with relatively strong competencies in local and regional governments. Countries in **Latin America and the Caribbean** highlight strong institutional frameworks for urban policy at the national level with relatively weak municipal administrative and financial capacity. In countries in **Asia and the Pacific**, responsibilities tend to be shared across national, regional and local levels.

Box 2.2. Federal states' distribution of competences and responsibilities for NUP

In **Australia**, the federal government does not have direct jurisdiction over urban policies and development, which fall under the responsibility of State/Territory and local government jurisdictions. However, the federal government provides the settings for taxation, finance, welfare, superannuation, foreign investment, and immigration policies as well as funding for specific projects (infrastructure and development). The Australian Government's Smart Cities Plan and its key implementation mechanism, City Deals, is an example of such co-ordination and investment.

In **Brazil**, the federated entities have political, administrative and financial autonomy with competencies determined by the federal constitution. However, asymmetries in the federative pact in relation to the distribution of competencies and resources make the federal government responsible for supporting municipalities in the implementation of urban policies, including capacity-building, financial resources, a toolbox for local planning, management and governance.

In **Canada** and the **United States**, state/provincial governments control urban planning and land-use policies such as zoning, and federal governments provide financial and technical support to urban development and urban policy initiatives undertaken at state/provincial or municipal levels.

In **Ethiopia**, the federal government provides support and capacity building, prepares overarching strategies, helps establish the appropriate organisational structure, allocates budgets necessary for the development of cities, and formulates laws at the federal level to ensure smooth policy implementation. Regional and local governments share responsibility to devise urban strategies and regulations, and to provide or signal the need for capacity building.

In **Germany**, the state and federal levels work together on shared responsibility, legislation of an overarching framework for urban development, allocation of funding, and financial support contracts at the state level for investment purposes, which are complemented by state and municipal levels.

In **Nigeria**, 10 ministries at the national level and several departments/agencies hold responsibilities and roles in urban planning and development, indicated in the National Urban Development Policy and National Housing Policy adopted in 2012. At sub-national level, State Urban and Regional Development Authorities and Local Urban and Regional Development Boards are sometimes also in place.

Box 2.3. Unitary states' distribution of competences and responsibilities for NUP

In **Estonia**, urban and other municipalities are responsible for spatial and strategic development planning, and provision of public services within their territories.

In **France**, urban policy is inter-ministerial, partnership-based, contractual and participatory in its approach, decentralised and deconcentrated in its implementation and integration of the social, urban and economic dimensions within the city contract, and the setting up of citizens' councils.

In **Hungary**, leadership is at the national level, co-ordinated between the Ministry of Interior, the Ministry of Innovation and Technology, and the Ministry of Finance.

In **Morocco**, housing and urban development is primarily a national competency, and different ministries have responsibilities for a wide range of issues including land use and housing.

Jordan presents a shift towards greater local competence.

Saudi Arabia extends the role of regional and local government, which the national government aims to empower to implement national spatial policies.

In **Myanmar**, the national government is responsible for regulation, policies, strategies, monitoring and evaluation; the regional level is in charge of regulatory arrangements and implementation; local governments cover most implementation issues.

Namibia, through its new Urban and Regional Planning Act (not yet operational), envisages decentralisation or transfer of some approval procedures to regional and local governments for more efficiency in land use planning and approval process.

In **Norway**, the private sector (such as entrepreneurs in construction, private investors, private enterprises and entrepreneurs in the house-building sector) play an important role in urban development as main contributors to both planning and building in urban areas.

In **Slovakia**, the central government influences the urban policies of municipal governments. The Ministry of Transport and Construction, as the central state administration body, prepares and implements NUP. The dual system of public administration authorises local governments to decide autonomously on the overall development of their territories.

Slovenia implements spatial development policy on national (state) and local (municipal) levels. The regional level is not institutionalised, but the current legal framework allows inter-municipal planning.

In **Sweden**, the urban planning system is highly decentralised, although county administrative boards (part of the national government) have significant responsibilities and competencies, and can intervene in issues that affect national interests, environmental quality standards, inter-municipal interests, and issues concerning health and safety and the risk of accidents, flooding or erosion. Regional governments in general have little competence in urban policy.

In the **United Kingdom**, the central government is responsible for overall policies towards cities and urban development. Meanwhile, the government's City Deal and Devolution programmes allow a degree of "tailored" devolution of responsibility to English cities and wider regions. Local enterprise partnerships (LEPs) exist between local authorities and businesses involved in decision-making on local priorities (investment in roads, infrastructure, buildings and facilities).

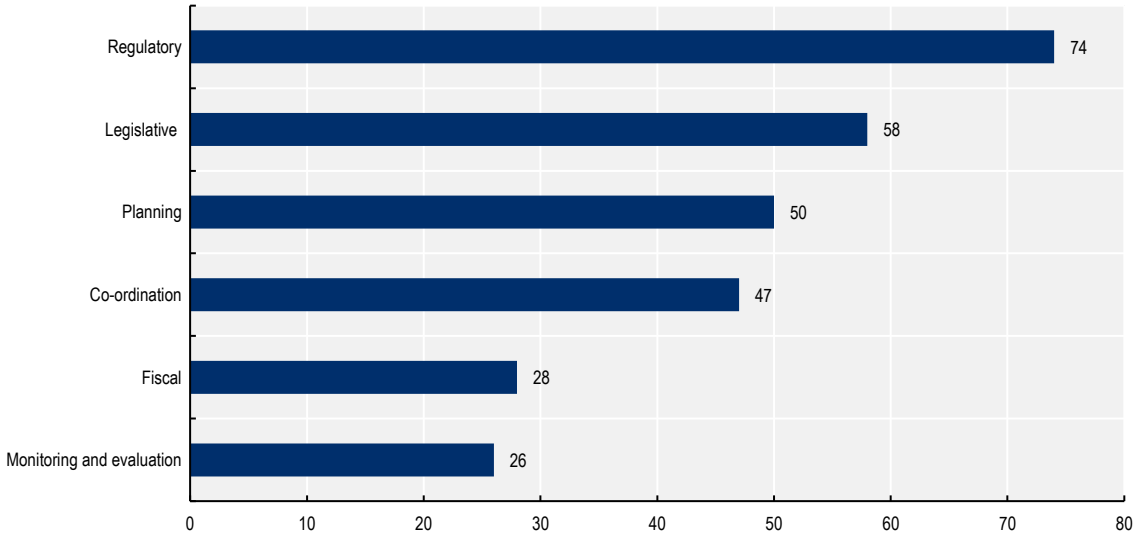
Note: Figures are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Regarding roles and responsibilities in urban policy at the national level, 83 countries indicated specific types of competence (Figure 2.3):

- Regulation is the most common competence of national governments for urban policymaking and development. Out of 83 national governments, 74 (89%) identified regulatory responsibility for urban matters as a national prerogative. In **Israel**, for example, the national government's Israel Planning Administration (IPA) takes a leading role in planning and regulating land use and spatial development throughout the country.
- 58 countries (70%) report that they establish the legislative grounds for urban policies. The legislative mandate extends to various urban issues, ranging from land use to housing, spatial development and funding allocation. For example, in **Turkey**, the Ministry of Environment and Urbanisation sets the legislative and administrative framework for "spatial development", "planning legislation", "building legislation", "housing" and "land registry".
- Out of the 58 countries that reported on the distribution of their legislative responsibilities, 12 indicated that they are shared at the national and sub-national levels. In **Germany**, both federal and state governments have legislative power regarding planning laws.
- 50 countries (60%) report a national-level land use planning function. In **Denmark,** the national government has overarching responsibility for spatial planning, urban development, and area-use with related functions allocated across different ministries and authorities dealing with spatial planning issues under the Planning Act.

- 47 countries (57%) mentioned co-ordinating urban matters as a national competence. In **Burkina Faso**, the Ministry of Town Planning and Housing co-ordinates the execution of sectoral projects in urban areas and ensures the co-ordination of interventions and investments in cities in accordance with planned development. In **Luxembourg**, the Department of Regional Planning is responsible for regional planning and inter-ministerial co-ordination of sectoral policies relating to regional development and land use.
- 28 countries (34%) report that national governments possess fiscal capacities for urban development. In **Canada**, the federal government participates in urban policy and development through a variety of fiscal instruments. In the **United States**, the federal government is a source of funding for some urban policy initiatives undertaken at the state and local level.
- 26 countries (31%) report urban monitoring and evaluation activities as a national competence. For example, in **Slovenia**, the government has the authority to monitor the legality of spatial planning activities at local and regional levels.

Figure 2.3. Types of competences for urban matters at the national level, n = 83



Note: No information was available for three countries out of the 86 survey respondents.

Urban policies at different levels of government

A country's NUP links to and is affected by urban policies at other levels, namely urban policies by sub-national governments (e.g. state, province, regions and cities) and those influenced by supra-national bodies. Fifty out of 86 responding countries to the NUP country survey reported "policies that are affecting their urban areas and that are not at the national scale", thus providing concrete examples of sub-national and supra-national initiatives or frameworks.

Sub-national urban policies

Many countries provided examples of urban development strategies planned and implemented by sub-national governments. Whereas these sub-national policies have local objectives, they also mobilise actions, strategies and resources of the national agenda towards specific territorial contexts. Aligning national and sub-national urban policies is therefore crucial for both levels of government. Sub-national

urban initiatives are evident in all parts of the globe and most illustrate links with NUP, such as alignment, guiding, endorsement (Box 2.4).

Several countries provided examples of place-based or sub-national plans and strategies prepared by national governments. Examples include: the Maritime Spatial Plan in **Bulgaria**, the Spatial Plan for the Coastal Zone in **Montenegro** and the Integrated Coastal Zone Management Plans in **Turkey**. In the **Netherlands**, urban strategies equivalent to their explicit NUP (the National Strategy on Spatial Planning and Environment) are also produced by provinces and municipalities. Likewise, **Korea** developed national policies to achieve objectives for specific regions. While these only cover specific geographical spaces in a country, these plans and strategies can be understood as NUPs.

Box 2.4. Examples of sub-national urban policies

Asia and the Pacific

In **Australia**, urban policies and development are the responsibility of State/Territory governments, while their respective local governments are responsible for land-use zoning and development approvals. Urban development along transport routes is another area-based focus, as illustrated by **Israel's** policy for urban development along mass transportation routes in Jerusalem and in the Tel Aviv metropolitan area. Inter-regional territorial development policies and schemes are evident in **Kazakhstan** for the Almaty, Shymkent and Aktobe agglomerations.

Thailand has masterplans for smart cities that include liveability, economic revitalisation, improved quality of life, reduction of inequalities and inclusive infrastructure. **Turkey** established Regional Development Agencies to prepare Regional Development Plans in accordance with the country's National Strategy for Regional Development, and to support local actors, increase integration between sectors and develop spatial unity of local economies.

Europe and North America

In **Austria**, the region of Upper Austria developed a strategy, combined with financial resources, to stimulate urban-rural co-operation in a number of smaller urban areas to reduce the land take. **Canada** regulates land use planning and urban policy implementation through provincial planning acts, with municipalities as "creatures of the province". The Act regulates land use and development, especially in the growth of cities. **Germany** has policies (programmes) on the *Länder*-level, like WiN (*Wohnen in Nachbarschaften*, "Living in Neighbourhoods") in Bremen and RISE (*Rahmenprogramm Integrierte Stadtteilentwicklung*, "Framework Programme Integrated District Development") in Hamburg.

Czechia implements Regional Innovation Strategies in its 14 regions. The strategies support cities' competitiveness, innovation, research and development, and to better implement public and the European Structural and Investment Funds. Similarly, **Ireland** has Regional Spatial Planning and Economic Strategies for three regions. The aim is to develop metropolitan areas of the five major cities in the country. For example, key policies from the Dublin Metropolitan Area Spatial Plan include compact sustainable growth to promote consolidation of the city and suburbs, integrated transport and land use along high quality public transport networks, corridors and nodes, and enabling infrastructure capacity. All local authorities in the Dublin metropolitan area must reflect such policies within their local plans. Similar regional development policies exist in **Belgium**, **Bulgaria**, **Italy** and the **Netherlands,** where the National Strategy on Spatial Planning and Environment has sub-national versions for provinces and municipalities.

Latin America and the Caribbean

Costa Rica intends to create regional plans that define guidelines for urban development in six regions to conform with the National Urban Development Plan as defined by Urban Planning Law, while **Guatemala** makes regional plans for comprehensive development and establishment of systems of cities in the regions and to guide its territorial organisation. In **Brazil**, the constitutional competence for implementing urban development policy lies with the municipalities. They must prepare master plans as the basic instrument of urban policy. By 2018, 52% of Brazilian municipalities had master plans for local regulation of urban policy.

Africa

In **Nigeria,** the Niger State Urban Development Policy is being created in line with the provisions of the Nigeria National Urban Development Policy of 2012. The State Policy will set out a framework for the development and management of urban centres as a basis for improved local economic development and environmental sustainability. Zanzibar, **Tanzania** highlights similar initiatives. **Madagascar** has regional-level territorial planning policy and urban-level development policies.

Arab states

Morocco's policy for the creation of new cities, initiated in 2004, aims to plan cities around primary urban agglomerations in response to growing urbanisation and housing demand. Morocco also points to its 2011 "Plan Communal de Développement", defining six-year socio-economic development strategies for municipalities and including participatory citizen engagement, and its 2014-20 Industrial Acceleration Plan for the formation of industrial ecosystems.

Supra-national urban policies

Cross-border policy issues, and urban issues of international concern and global ramification, such as climate change, should be considered not only within a single country, but across nations. Co-ordination and institutionalisation of urban issues among different actors, sectors and functions sometimes happens beyond national territorial scales as supra-national urban dynamics. The NUP country survey found that such supranational policy frameworks with urban competences were particularly evident in Asia, Europe and Latin America:

- **Luxembourg** engages in cross-border co-operation policy, with a focus on cross-border agglomerations such as the Franco-Luxembourg conurbation of Alzette Belval, and with various ministries. Examples include the Development, Monitoring and Implementation of Cross-border Spatial Development Strategies led by the Ministry of Energy and Spatial Planning, and the Inter-ministerial Co-ordination Committee for Cross-Border Cooperation led by the Ministry of Foreign and European Affairs.
- **Netherlands** also has many years of experience with cross-border co-operation and international agreements with **Belgium**, **France**, **Germany**, **Luxembourg** and **Switzerland** on river management and the urbanised delta areas. Some issues within NUP involving a cross-border approach relate to housing and labour markets, which go beyond administrative perimeters. Others relate to public transport and infrastructure, energy and nature in relation to ecological and social footprints.
- A few countries refer to the contribution of European Union supranational policies and funding mechanisms (e.g. EU Cohesion Policy, European Fund for Regional Development) in supporting integrated urban or regional development (**Austria, Bulgaria, Turkey**), a city's potential for innovation, research and competitiveness (**Czechia**), and new forms of effective partnerships for functional urban areas beyond rigid administrative borders (**Poland).** At the EU scale, the New

Leipzig Charter, a continuation of the 2016 Pact of Amsterdam, is also considered a framework for urban development by several countries (Box 6.3).

- **Colombia** has a Prosperity for the Colombian Borders policy, targeting urban areas on and near the border, with the objectives of promoting sustainable growth, reducing inequities with the rest of the country, enhancing inclusion of ethnic groups along the border, and taking into account the characterisation of each border region.
- **Thailand** adopted the ASEAN Community Vision 2025, which aims to sustain the momentum of regional integration and further contribute to strengthening the ASEAN community-building efforts and regional co-operation. The Vision also aims to enhance implementation of sustainable development through the SDGs.
- **Myanmar** is in the process of developing a joint spatial development plan for the Myawaddy-Mae Sot cross-border area between Myanmar and **Thailand**.

NUP can play an important role in these contexts of cross-border and multi-national co-operation in urban policy. First, NUP can work as a strong basis to guide the international policy making process. Second, it can help co-ordinate and align policies across sub-national, national and supra-national scales.

Emerging policy needs for NUP

The contribution of NUP to rebuilding cities after COVID-19

Learning from the COVID-19 pandemic and its aftermath prompted cities to rethink how they deliver services and how they plan their space (e.g. urban density, digitalisation and mobility in cities). To a certain extent, “life after COVID-19” will be “life with COVID-19”, which stresses the need to rebuild cities over the long term taking better account of needs such as social distancing and teleworking. The return to proximity to essential urban services provides an opportunity to shift faster from goals of increasing mobility to enhancing accessibility by reimagining public spaces, urban design and planning. Essential concepts such as the circular economy, localisation of the SDGs, tactical town planning and "the 15-minute city" can improve quality of life while preserving productivity, social inclusion and the environment (OECD, 2020[2]). NUP can also play a key role in driving this paradigm shift by engaging policymakers, town planners and city dwellers, and developing an enabling framework for bottom-up and innovative urban strategies.

NUPs have a role to ensure that recovery strategies from the COVID-19 crisis address the uneven impacts of the crisis between and within urban areas. The COVID-19 crisis underlines the urgency to build more resilient, greener and more inclusive cities. NUP can contribute to more balanced and polycentric urbanisation by aligning sectoral policies, facilitating multi-level dialogues, fostering rural-urban linkages and addressing socio-spatial inequalities that the crisis revealed in cities, through an approach centred on people and places. Whereas most responses to the NUP country survey were collected before the COVID-19 pandemic started, active dialogues among countries at the OECD Working Party for Urban Policy (in April and November 2020) as well as at the fifth Partners Meeting of the National Urban Policy Programme (in December 2020) revealed countries’ ambition and expectation for NUP in the coming years.

NUP contribution to global and regional urban agendas

NUPs are recognised as instruments for countries to implement global agendas such as the Agenda 2030 for Sustainable Development, the New Urban Agenda, the Paris Agreement, and the Sendai Framework for Disaster Risk Reduction. In 2019, NUPs became part of the indicator framework for SDG 11 on cities. This will increase countries’ attention to and interest in NUP. Despite uneven progress on the SDGs around the world, some gains were visible before the COVID-19 pandemic. These include a decrease in the share

of children and youth out of school, an increase in women's share of leadership roles, and improved access to safely managed drinking water. COVID-19 exacerbated the risk of setbacks in implementing these global agendas. For example, the UNDP and the Pardee Center for International Futures at the University of Denver estimate that the COVID-19 pandemic could push up to 169 million people into extreme poverty by 2030 (Abidoye et al., 2021[3]).

NUP should be leveraged better to address the unprecedented shocks in urban areas induced by climate change. Embedding climate measures in an effective enabling framework such as NUP enhances governments' ambition and reduces cities' emissions and exposure to climate risks. Urban areas have untapped opportunities to reduce greenhouse gas emissions. By 2050 local governments can reduce by a third of urban emissions and national-local collaboration can achieve reduction of another third (Coalition for Urban Transitions, 2019[4]). NUP can support the transition to the zero-carbon economy, as NUPs cover a range of policy areas with a profound effect on climate policy goals and well-being, such as economic development, land use, housing, transport, labour and health.

Many countries are also reviewing and renewing their NUPs against regional urban agendas. For example, the Urban Agenda for the European Union, notably the Pact of Amsterdam, acknowledges the contribution of urban areas to development at large, and the need for national and European policy frameworks to consider them to foster more territorial cohesion. Moreover, the "New Leipzig Charter – the transformative power of cities for the common good" emphasises strong national urban policy frameworks, urban resilience, including the risk of pandemics, and digital transformation. Its implementation plan calls for better connection and collaboration with existing urban networks and knowledge creation initiatives on the science-policy continuum. Lastly, in Africa, several countries are revisiting their NUPs to achieve the African Union's Agenda 2063. This will be further discussed in Chapter 6.

NUP contribution to balanced urbanisation and urban-rural linkages

In many countries, ongoing and sometimes accelerating urbanisation remains a challenge. NUP can balance territorial development, avoiding overconcentration in major cities and oversaturation of public services and infrastructure, promoting a more polycentric system of cities of different size, and better connectivity between urban and rural areas. Urban and rural areas' development is connected through functional relationships and complementarities (OECD, 2019[5]). Hence, urban policies should consider the functional geographies and relations addressing urban-rural linkages by means of integrated policies.

Place-based actions based on these functional geographies might foster the economic growth of all territories and promote the quality of life and well-being. NUPs cannot help cities and rural areas in isolation. On the contrary, they should promote complementarities and synergies within the urban-rural continuum by a systemic and integrated approach. The development of intermediary cities plays a key role in spatially balanced development within the urban-rural continuum. On one hand, intermediary cities can provide functions and infrastructures for rural areas. On the other, they can balance the overconcentration of activities in large cities and its negative impacts in terms of economic, social and environmental costs. **Rwanda**'s NUP clearly illustrates the importance of urban-rural linkages and the role of secondary cities and towns (Box 2.5).

The COVID-19 crisis starkly illustrated the importance of addressing socio-spatial inequalities in urban areas and enhancing urban resilience, since cities marked with inequality and a high concentration of urban poor proved more vulnerable than those that are better resourced, less crowded and more equal (OECD, 2020[2]). Inequality and divides within and between cities are increasing, and addressing them can be a strong political rationale for NUP.

Box 2.5. Mainstreaming urban-rural linkages in NUP: the case of Rwanda

Rwanda's 2015 National Urbanisation Policy, currently in the implementation stage, has a significant focus on urban-rural linkages. The NUP argues for the importance of managing urban sprawl in peri-urban and rural areas, and enhancing mutual benefits and functions by stressing the need "to enhance the opportunities of increased demand of horticultural and livestock products in urban areas and diversification of off-farm employment opportunities for the rural counterparts" and "to mitigate the risks of urban sprawl, resources depletion and other negative environmental impacts at the urban peripheries". Implementation used five 'entry points': (1) integrated human settlement planning and coordination; (2) City of Kigali, secondary cities and other potential towns developed to spur socio-economic growth; (3) liveable, well-serviced, connected, compact, green, and productive urban and rural settlements with cultural identity; (4) access to social and affordable housing; and (5) upgrading informal settlements.

The Urbanisation and Rural Settlement Sector Strategic Plan 2018-2024, meant to help implement the NUP, echoes these messages. Key action includes transport services to connect urban and rural areas.

Source: Government of Rwanda (2015), *National Urbanisation Policy*.

Ways forward

The analysis in this chapter indicates that most countries value NUP as a tool to develop a common vision for national urban development and facilitate inter-sectoral and inter-regional co-ordination. While NUPs are commonly framed as "a coherent set of decisions through a deliberate government-led process of co-ordinating and rallying various actors towards a common vision and goal that will promote more transformative, productive, inclusive and resilient urban development for the long term", countries have diverse definitions. Such definitions range from outcome-based dimensions, such as sustainable urban development and social inclusion, to process-based dimensions, such as stakeholder engagement. For instance, while some NUPs aim to achieve quality of life and well-being for urban residents, others distinctly target disadvantaged urban areas. This underlines the need for more granular and contextualised NUP monitoring across and within countries.

Whether a country is federal or unitary, all levels of government need to align policies in cities, in which NUP can play a role. While the distribution of responsibilities of urban policy and development across and within countries reflects different underlying political, social, economic, geographic and constitutional contexts, urbanisation and urban challenges call for co-ordinated efforts across levels of government. Country examples show that NUP can act as a multi-level platform for dialogue and aligning policies, including connecting cross-border and sub-national urban policies. In certain federal countries, where state and provincial governments lead urban policymaking, the national government provides important capacity-building, financial and technical support, which complements state/provincial action. Unitary countries demonstrate both centralised and decentralised approaches to urban policy, which nonetheless strive for co-ordination mechanisms.

This chapter's findings indicate three recommendations:

- **Enhance the role of NUP as a comprehensive, strategic and shared vision** for balanced, quality and polycentric urbanisation, and effective alignment and co-ordination across places, sectors and levels of government. The varying NUP definitions, drivers, and institutional contexts highlight the diverse perception and implementation of NUP around the world, but also underscore

how policy makers can learn from each other's experiences to enhance the potential of their NUP. Countries that focus on the potential of NUP to set a vision could consider leveraging NUP frameworks' proven potential to go beyond vision-setting and strengthen implementation (e.g. enhancing vertical and horizontal co-ordination mechanisms, engaging diverse stakeholders).

- **Promote NUP as key framework to rethink post COVID-19 urban paradigms** towards just, green and smart cities that can anticipate and respond to future shocks. The three most frequently identified drivers of NUPs – "balanced territorial and urban development", "a coherent vision for national urban development" and "improved policy co-ordination across sectors" – speak to the strength of existing NUP frameworks in shaping balanced and coherent urban development that bridges policy siloes. NUP frameworks should thus be leveraged to anticipate and respond to the implications of COVID-19 in cities.
- **Share knowledge and experience on NUP** through multi-stakeholder dialogues, peer-learning and collaboration in global platforms such as the National Urban Policy Programme, to foster multi-stakeholder dialogues and peer-learning. Since 2016, the National Urban Policy Programme, launched at the Habitat III Conference, plays an instrumental role in sharing experience across international organisations, national and sub-national governments, planning experts, scientific institutions and academia (Box 2.6). It could strengthen its analytical contribution, peer-learning and evidence base on issues related to:
    - NUP's contribution to short-term and long-term COVID-19 recovery and rethinking of cities to inform how national urban ministries can contribute to building better and greener cities, drawing lessons from the crisis (e.g. urban density, digitalisation, accessibility in cities).
    - Fostering intermediary cities and urban-rural linkages, analysing functional relationships and complementarities within urban-rural continuums, and discussing policies to enhance the economic, social and environmental link within functional urban areas.

Box 2.6. National Urban Policy Programme

While 162 countries globally have NUPs in place in one form or another, there is a need for mutual learning on how NUPs can meet new demands. In some countries, national and sub-national governments may not have sufficient resources and specialised skills to undertake the NUP process.

To address this challenge, the OECD, UN-Habitat and Cities Alliance established the National Urban Policy Programme (NUPP) at the Habitat III Conference in 2016. The NUPP is a global platform that facilitates the sharing of experiences on NUP and provides targeted support to countries building on the expertise of the three organisations and supporting partners. The objective is to strengthen knowledge and capacity in countries to develop, implement and monitor NUP in an effective, efficient and inclusive way.

The NUPP operates through two-year Workplans. Reflecting the growing interest and demand for guidance in NUP development and implementation, the NUPP Workplan 2021–22 focuses on the following four priorities:

- **Global monitoring.** Monitoring NUP is a pillar of the NUPP mandate. The next phase will explore further methodological development for more detailed and evidence-based monitoring.
- **Thematic studies and policy dialogues.** The NUPP can invite partners to collaborate and conduct thematic studies and policy dialogues, building on their respective expertise.
- **Enhanced knowledge exchange.** In response to countries' need to exchange best practices, the NUPP will continue to provide a platform for dialogue involving all levels of government.

- **Stronger engagement and collaboration.** The NUPP will aim to solidify and enlarge its partnerships, and engage partners more substantially and frequently in the activities proposed above to create stronger complementarities and synergies.

Source: OECD/UN-Habitat/Cities Alliance (2019), *The National Urban Policy Programme: Overview*, https://www.oecd.org/cfe/cities/NUPP-overview.pdf.

References

Abidoye, B. et al. (2021), *Leaving No One Behind: Impact of COVID-19 on the Sustainable Development Goals (SDGs)*, https://data.undp.org/wp-content/uploads/2021/04/Leaving-No-One-Behind-COVID-impact-on-the-SDGs-second-flagship-2.pdf. [3]

Coalition for Urban Transitions (2019), *Climate Emergency, Urban Opportunity*, https://urbantransitions.global/urban-opportunity/. [4]

Government of Rwanda (2015), *National Urbanisation Policy*. [8]

Ministry of the Interior and Kingdom Relations of the Netherlands (2019), "Draft National Strategy on Spatial Planning and the Environment: A sustainable perspective for our living environment", https://www.rijksoverheid.nl/documenten/rapporten/2019/08/01/draft-national-strategy-on-spatial-planning-and-the-environment-engels. [1]

OECD (2020), "Cities policy responses", *OECD Policy Responses to Coronavirus (COVID-19)*, OECD, Paris, http://www.oecd.org/coronavirus/policy-responses/cities-policy-responses-fd1053ff/. [2]

OECD (2019), *OECD Regional Outlook 2019: Leveraging Megatrends for Cities and Rural Areas*, OECD Publishing, Paris, https://dx.doi.org/10.1787/9789264312838-en. [5]

OECD/UN-Habitat/Cities Alliance (2020), *National Urban Policy Country Survey 2020*. [6]

OECD/UN-Habitat/Cities Alliance (2019), *The National Urban Policy Programme: Overview*, https://www.oecd.org/cfe/cities/NUPP-overview.pdf. [7]

3 Key trends and characteristics of NUP

This chapter presents key trends and characteristics of NUP in terms of form, contents, stage, thematic scope and institutions. All 162 countries studied have national-level urban policies, although in different forms, at different development stages and with varying thematic foci. Based on a comprehensive survey across 86 countries, combined with desk research information for an additional 76 countries, the chapter reveals that NUPs matured since the first edition of the global monitoring in 2018. They take more explicit forms, advanced to implementation stage and integrate wider social and environmental objectives, including climate resilience.

Key findings

- The report identified 162 NUPs. Among them, 91 NUPs are identified in an explicit form, and compared with the first edition of the report, the share of explicit NUPs has risen from 51% to 56%. Regionally, the Latin America and the Caribbean region has the highest share of explicit NUPs (68%).
- Explicit NUPs typically have a stronger focus on 'defining a vision' (90% of surveyed NUPs), 'integration and co-ordination of cross-sectoral policies' (83%) and 'promotion of a system of cities approach' (83%), while striving less to 'rely on robust urban scale data and ensures regular monitoring and evaluation' (52%).
- NUPs have overall entered more operational stages. The share of NUPs in the implementation or monitoring and evaluation stages slightly increased from 61% in 2018 to 62% in 2020. Overall, NUPs in the diagnosis stage have reduced from 12% to 7%, while those in the formulation stage have increased from 11% to 20%.
- Spatial structure and human development are the two most common thematic areas in NUPs, with 80% and 78% of NUPs respectively, giving moderate or extensive attention to such themes. Climate resilience has had more attention as a thematic area, rising from 36% in 2018 to 48% in 2020, although this is still the lowest of the five themes, indicating that NUPs have addressed a wider range of thematic areas.
- Fifty-four countries out of 86 countries (63%) rely on a ministry or agency specialising in urban issues to lead the NUP process. These ministries or agencies are, to a large extent, specialised in housing, infrastructure, spatial planning, environment and urban development.

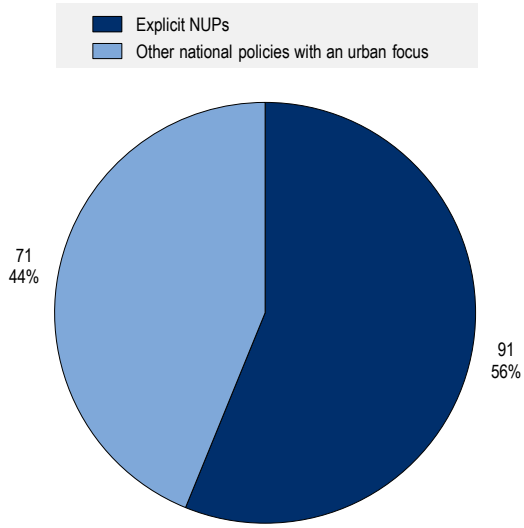
Forms of NUP

This section analyses forms of NUP. It examines NUPs in an explicit form and in other national-level policies with a spatial focus on urban areas or an important impact on urban areas.[1] Examples of such policies include national development strategies with dedicated focuses on urban areas and national-level sectoral policies and plans (e.g. housing, energy, transport, land-use) with elements addressing the urban level (e.g. a national-level transport plan that incentivises the use of electric vehicles in urban areas or prioritises urban infrastructure development). It is crucial that such policies have been understood and analysed as NUP in this study in order to better reflect the broader spectrum of national level policies with an urban component.[2] This approach has enabled a country without an explicit form of NUP to identify a policy which either provides the most comprehensive and strategic vision for urban development or affects urban areas the most. These policies were considered and analysed as part of NUPs for the country.

For this analysis, an explicit NUP is defined as a policy with "a title of 'national urban policy' or variant such as 'national urbanisation policy' or 'national urban strategy' or 'national urban development strategy'. The definition is consistent with the 2018 report. The data was collected mainly through the country survey (86 countries) and complemented with desk research, including the UN-Habitat NUP database.

The 162 countries analysed in the report have a NUP in some form or stage. Of these 162 countries, 91 (56%) have or are developing an explicit NUP (Figure 3.1). This is an increase from the 2018 report, where 76 out of 150 countries (51%) had an explicit NUP (UN-Habitat/OECD, 2018[1]).

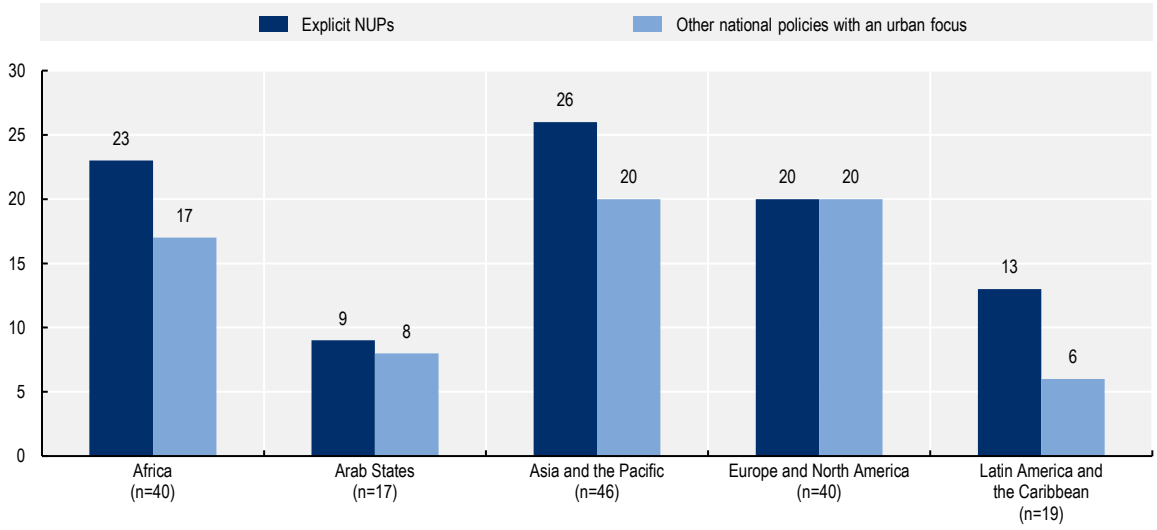
Figure 3.1. Forms of NUP, n = 162



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020, the UN-Habitat NUP database and countries' websites.

The survey data and desk research also indicate a regional variation in the distribution of explicit NUPs. Across the regions in aggregate, the Latin America and the Caribbean region led with the highest share of explicit NUPs (68%) followed by Africa (58%), Asia and the Pacific (57%), Arab States (53%) and Europe and North America (50%) (Figure 3.2).

Figure 3.2. Forms of NUP by region, n = 162



Note: A country which has both explicit NUPs and other national policies with an urban focus is grouped in 'Explicit NUPs'. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020, the UN-Habitat NUP database and countries' websites.

The NUP country survey data showed that, regardless of whether a country had an explicit NUP or not, 91% of the 86 responding countries identified at least one other national-level policy with a major focus and impact on urban areas.

Non-explicit policies respond to urban issues across different sectors and scales, as is the case of the national economic and social development plans in **Thailand**, the national spatial development policies in **Bulgaria**, and regional and territorial development strategies in **Armenia** and the **Czech Republic**. Sectoral policies and programmes include the Investing in **Canada** Infrastructure Programme, housing policies in **Eswatini** and **Nigeria**, the national transport plan in **Norway** and the State Housing Plan 2018-2021 in **Spain**. Several other countries indicated they have a range of such policies.

In some cases, sectoral policies affecting urban areas (housing, sanitation and mobility) are managed within one ministry, such as the Regional Development Ministry in **Brazil**. However, given the broad sector issues and thematic areas identified with impacts on urban areas, in most cases such policies are spread across different government ministries and departments. This provides a clear indication of the multi-sector and dimensional focus and co-ordination required to achieve sustainable urbanisation.

Characteristics of NUP

In addition to forms of NUP, the report also examined the characteristics of NUPs. The NUP country survey collected responses from 86 countries, with 58 'explicit NUPs' and 28 'other NUPs'.

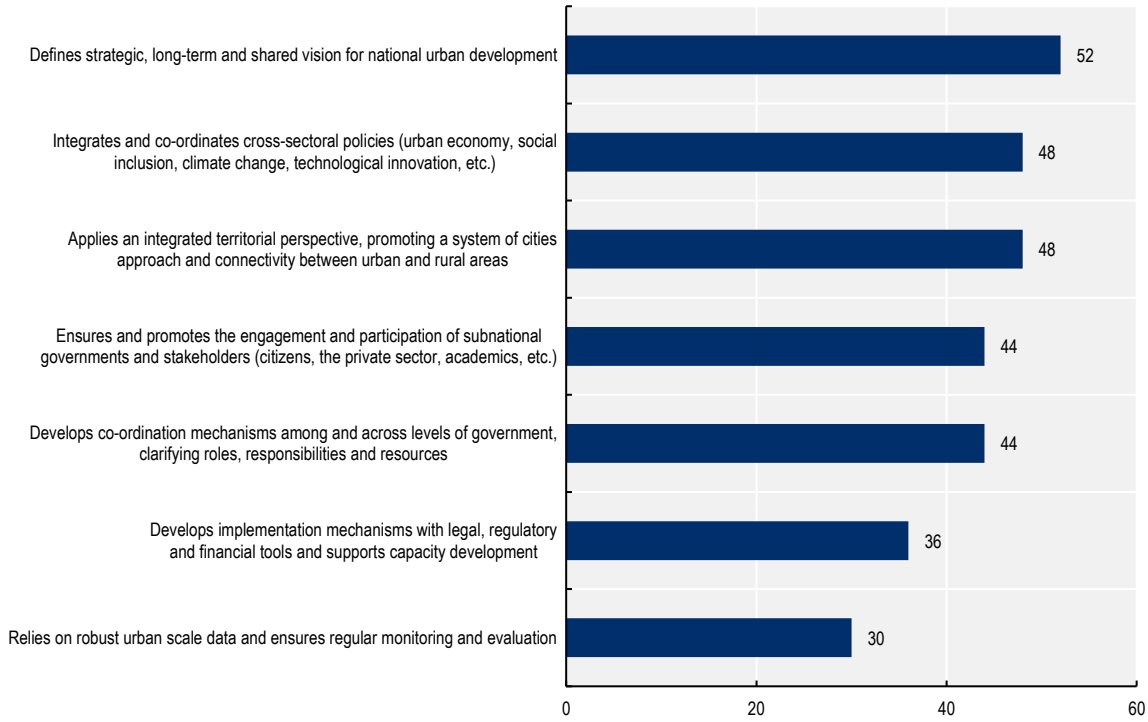
Explicit NUPs

Explicit NUPs evaluated from the survey demonstrate a high level of comprehensiveness. Among a wide range of characteristics elaborated out of NUP consideration in the New Urban Agenda and its Action Framework for the Implementation, the Habitat III Policy Paper 3 on National Urban Policies, and the OECD Principles on Urban Policy (see Chapter 1), the country survey found the three most common characteristics to be: i) "NUP defines strategic, long-term, and shared vision for national urban development" (52 out of 58 countries, or 90%), ii) "integrates and co-ordinates cross-sectoral policies" (48 out of 58, 83%), and iii) "applies an integrated territorial perspective, promoting a system of cities approach and connectivity between urban and rural areas" (48 out of 58, 83%) (Figure 3.3). However, a few other characteristics are nearly equally commonly selected, including "develops co-ordination mechanisms among and across different levels of government, clarifying roles, responsibilities and resources" and "ensures and promotes engagement and participation of sub-national governments and stakeholders".

Fewer number of countries (36 out of 58, 62%) consider their NUP "develop implementation mechanisms with legal, regulatory and financial tools and support capacity development". Laws are a primary means of NUP implementation. Clear legislative frameworks and instruments, including capacities to enforce and regulate, must be embedded in the NUP process. Likewise, combined with human resources, effective financial allocation can reduce implementation gaps and policy failures (UN-Habitat, 2014[2]). The NUP implementation mechanism will be discussed in Chapter 4.

The least considered characteristic by explicit NUPs was "relies on robust urban scale data and ensures regular monitoring and evaluation" (30 out of 58 countries, 52%). The result is consistent with one of the key findings of the first edition of the report, which identified inadequate access to the urban data, knowledge and tools for evidence-based policymaking as a key challenge (UN-Habitat/OECD, 2018[1]). Robust urban scale data should be a basis for the formulation, monitoring and evaluation of NUP, and is thus an essential part of NUP. This point was also emphasised during the Habitat III process; the Policy Unit 3 Policy Paper advised that NUP should be grounded in the most current and comprehensive qualitative and quantitative data and this in itself is a process of improving collection of disaggregated urban data (United Nations, 2016[3]). Continuous data collection and monitoring should be undertaken throughout the NUP process to be able to track progress over time and assess policy impacts. This will be further discussed in Chapter 5.

Figure 3.3. Key characteristics of NUPs in explicit forms, n = 58



Note: Country respondents could select multiple characteristics fulfilled by their explicit NUP. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

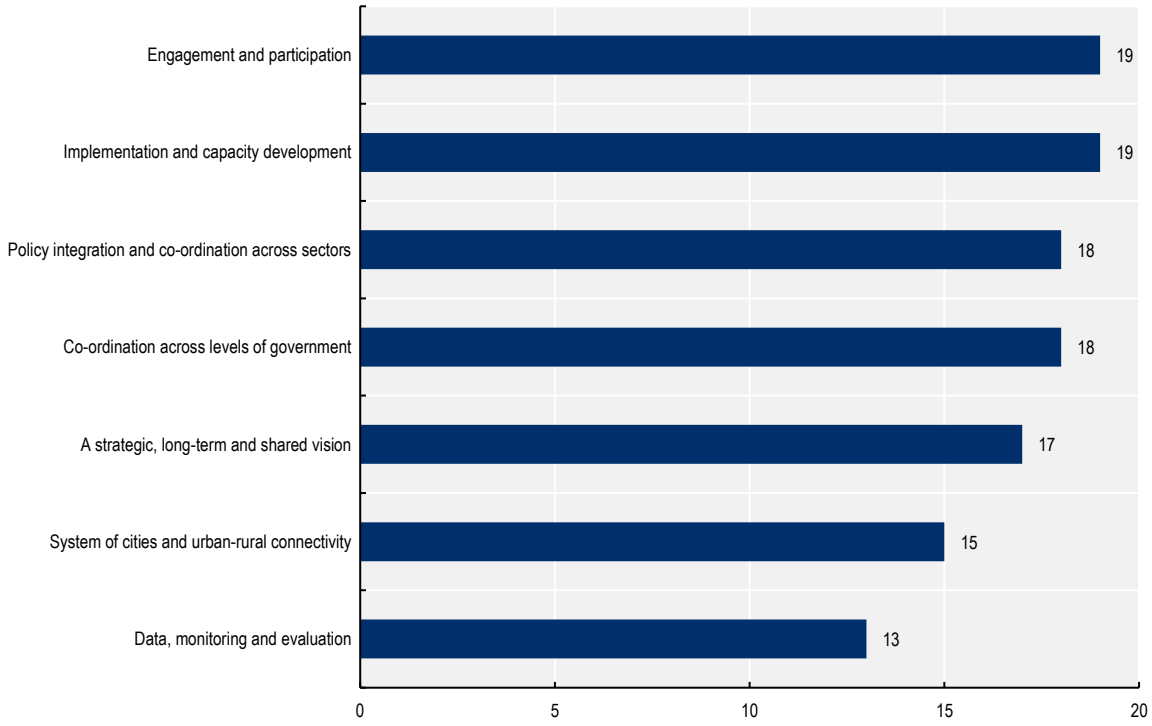
NUPs in non-explicit forms

The top two characteristics of the reported NUPs in non-explicit forms are "to ensure and promote engagement and participation of sub-national governments and stakeholders" (19 out of 28 non-explicit NUPs, or 68%) and "to develop implementation mechanisms with legal, regulatory and financial tools, and capacity development" (19 out of 28, 68%), followed by "to develop co-ordination mechanisms among and across levels of government, clarifying roles, responsibilities and resources" (18 out of 28, 64%) (Figure 3.4). The overall result suggests that NUPs in non-explicit forms are more focused on the process, including an emphasis on stakeholder engagement and implementation and co-ordination mechanisms.

There are distinct characteristics between explicit NUPs and other NUPs. As discussed previously, explicit NUPs are often "defining strategic, long-term and a shared vision for national urban development", whereas a much lower number of 'non-explicit' NUPs (17 out of 28 countries, or 61%) has such a character. Similarly, not many NUPs in non-explicit forms are "integrating and co-ordinating cross-sectoral policies" (15 out of 28, or 54%) or "applying an integrated territorial perspective" (15 out of 28, or 54%). This result is not surprising, as the policies analysed here focus on sectoral contents such as economic, spatial, human development, environmental sustainability and climate resilience rather than integrated urban development.

Finally, the NUP survey found that only 46% (13 out of 28) of non-explicit NUPs "rely on robust urban scale data and ensure regular monitoring and evaluation". The result was similar to the case for explicit NUPs.

Figure 3.4. Key characteristics of NUPs in non-explicit forms, n = 28



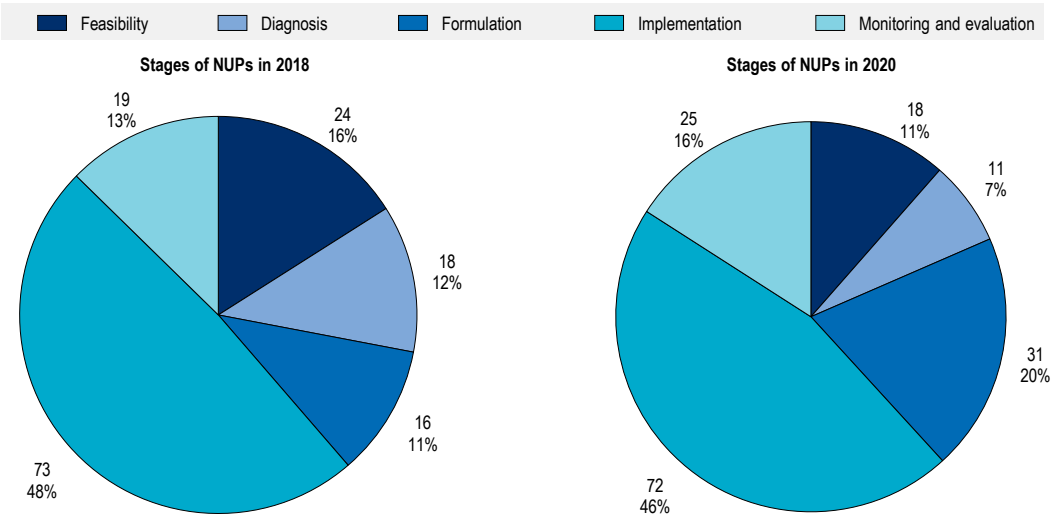
Note: Country respondents could select multiple characteristics fulfilled by their other national policy with an urban focus. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Stage of development of NUP

The NUP process has five stages: feasibility, diagnosis, formulation, implementation, and monitoring and evaluation. The NUP country survey and supplementary research evaluated the progress made by different countries in the NUP development process since 2018.

The result shows that NUPs have progressed to more operational stages since 2018. Out of 157 NUPs with available information, 38% were in the development stages (11% in feasibility, 7% in diagnosis, 20% in formulation) and 62% are being or have been implemented (46% in implementation, 16% in monitoring and evaluation) (Figure 3.5). These numbers are analysed at face value and need careful interpretation, as some countries are in the process of revising their NUPs or formulating a new one, and thus reported stages of development in flux rather than static. Compared to 2018, the largest progress was from the diagnosis to formulation stage, reported by countries such as **Jordan**, **Myanmar** and **Zambia**. NUPs in the diagnosis stage reduced from 12% to 7%, while those in the formulation stage increased from 11% to 20%. Countries such as the **Czech Republic**, **Malawi**, **Saudi Arabia** and **Sweden** reported progressing from the development to the implementation stage (Table 3.1). The share of NUPs in the implementation or monitoring and evaluation stages slightly increased from 61% in 2018 to 62% in 2020.

Figure 3.5. Stages of development of NUP in 2018 and 2020, n = 150 (2018), n = 157 (2020)



Note: No information was available for five NUPs out of the 162 NUPs identified. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020, UN-Habitat/OECD (2018), *Global State of National Urban Policy*, https://dx.doi.org/10.1787/9789264290747-en, the UN-Habitat NUP database and countries' websites.

Table 3.1. Major progress in NUP stage of development from 2018 to 2020, in selected countries

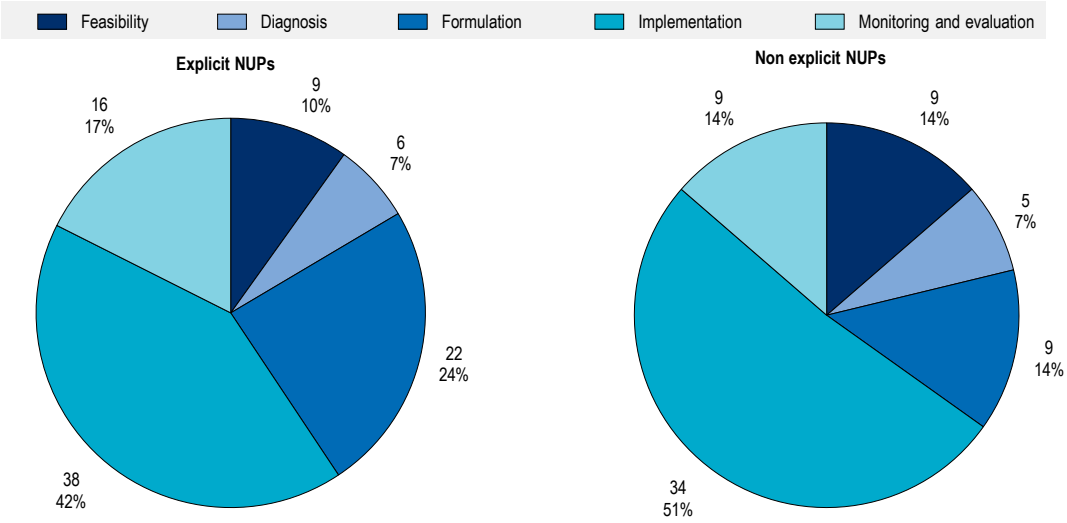
Progress in existing NUPs	
Change in stage of development (2018 to 2020)	Country
Feasibility to Formulation	Bolivia, Iran
Diagnosis to Formulation	Jordan, Myanmar, Zambia
Diagnosis to Implementation	Czech Republic, Saudi Arabia
Feasibility to Implementation	Malawi, Tanzania
Formulation to Implementation	Australia, Slovak Republic, Sweden
New NUP introduced	
Stage of development of new NUP	Country
Feasibility	Korea, Greece
Diagnosis	Romania
Formulation	Colombia, Ecuador, Finland, Lithuania, Mexico, Netherlands
Implementation	Chile, Costa Rica, Cuba, Ethiopia, Serbia, Spain

Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020 and UN-Habitat/OECD (2018), *Global State of National Urban Policy*, https://dx.doi.org/10.1787/9789264290747-en.

Out of 91 explicit NUPs, 9 (10%) are in the feasibility stage, 6 (7%) in the diagnosis stage, 22 (24%) in the formulation stage, 38 (42%) in the implementation stage and 16 (17%) in the monitoring and evaluation stage (Figure 3.6). In 2018, a larger proportion (30%) of the explicit NUPs were in early development stages (feasibility and diagnosis). The new wave of explicit NUPs is now reaching the formulation and implementation stages.

The majority of NUPs in non-explicit forms (65%) are operational (51% in implementation and 14% in monitoring and evaluation) and 35% are in the development stages (14% in feasibility, 7% in diagnosis and 14% in formulation).

Figure 3.6. Stages of explicit and non-explicit NUPs in 2020, n = 91 (explicit NUPs), n = 66 (non-explicit NUPs)



Note: No information was available for five out of the 71 non-explicit NUPs identified. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020, UN-Habitat/OECD (2018), *Global State of National Urban Policy*, https://dx.doi.org/10.1787/9789264290747-en, the UN-Habitat NUP database and countries' websites.

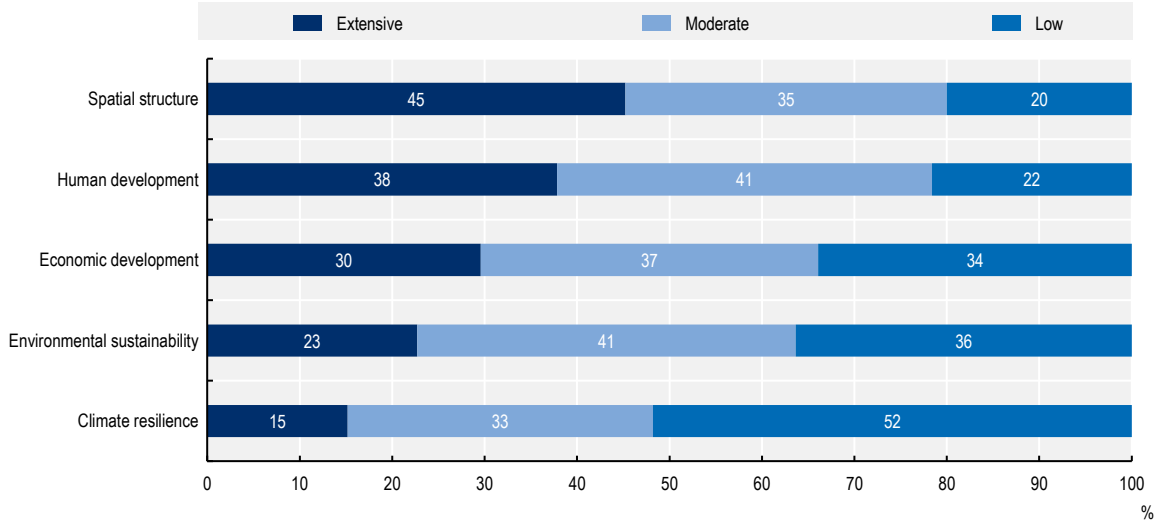
Thematic scope of NUP

Analysis of the thematic scope was undertaken for 113 NUPs with available data out of 119 NUPs that are in the formulation stage or beyond. For continuity with the 2018 edition, the same five broad thematic categories were analysed in 2020: economic development, spatial structure, human development, environmental sustainability and climate resilience. The level of attention given to each thematic area was assessed on a scale from low to moderate to extensive, with commonly defined principles (see Chapter 1). The data shows that spatial structure has the highest attention among the five thematic areas, with 80% of NUPs giving this moderate or extensive attention. Human development, economic development and environmental sustainability follow, with 78, 67 and 64% respectively (Figure 3.7). Climate resilience was the least considered thematic area among the five themes, with 48% of NUPs giving moderate to extensive attention to them.

In comparison to 2018, the analysis indicates that NUPs have become more comprehensive, covering wider thematic areas. Between 2018 and 2020, the shares of NUPs giving extensive or moderate attention to four of the five themes have remained high: spatial structure (78% in 2018 and 80% in 2020), human development (83% in 2018 and 78% in 2020), economic development (69% in 2018 and 67% in 2020) and environmental sustainability (68% in 2018 and 64% in 2020). In contract, the data indicates a large improvement in climate resilience, rising from 36% in 2018 to 48% in 2020. Although the results of the comparison need to be interpreted carefully,[3] they indicate that NUPs have overall extended their thematic scope.

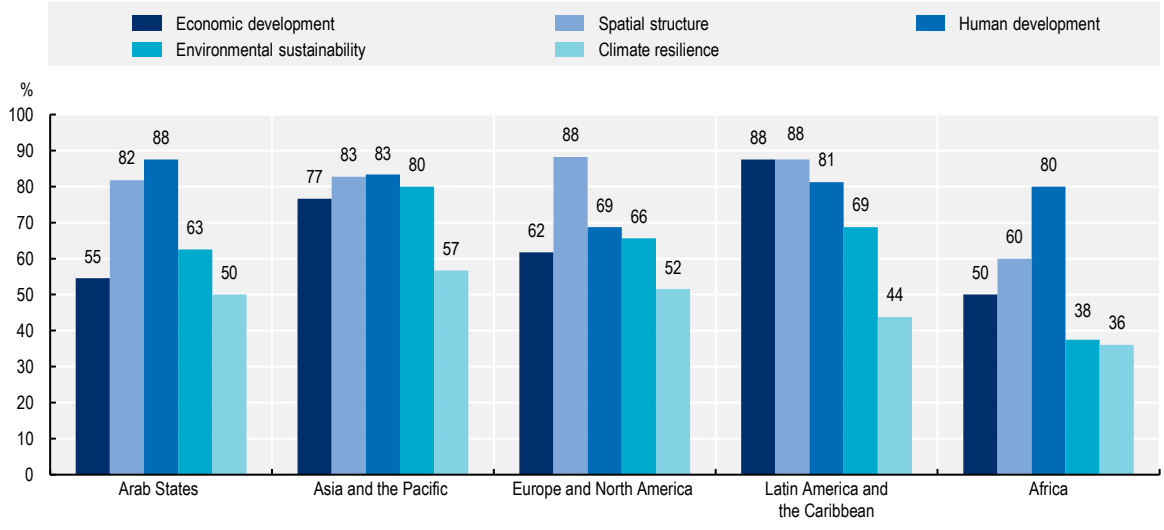
The analysis by five global regions indicates that the attention (moderate and extensive) to spatial structure was more evident in the NUPs in Europe and North America (88%), Latin America and the Caribbean (88%) and the Arab States (82%) and least evident in Africa (60%) (Figure 3.8). On the other hand, human development was more prevalent in NUPs from the Arab States (88%), Asia and the Pacific (83%), Latin America and the Caribbean (81%) and in Africa (80%). Interestingly, 80% of NUPs from Asia and the Pacific and 69% of those from Latin America and the Caribbean indicated to have moderate or extensive attention to environmental sustainability, implying the magnitude of the theme.

Figure 3.7. Levels of attention given to selected themes in NUP, n = 113



Note: No information was available for 6 out of the 119 NUPs that are in the formulation stage or beyond. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020, the UN-Habitat NUP database and countries' websites.

Figure 3.8. Moderate to extensive attention to themes of NUP by region, n = 113



Note: No information was available for 6 out of the 119 NUPs that are in the formulation stage or beyond. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020, the UN-Habitat NUP database and countries' websites.

In addition to the analysis of the five broad thematic categories, levels of attention to 20 sub-themes were also analysed in the NUP country survey 2020 (Table 3.2). The results revealed more precise priorities in NUPs at the global scale, as well as some gaps across sub-themes within a broad thematic category. Under the theme of 'human development', for example, the data shows that relatively less attention is given to 'promoting social cohesion and fighting against spatial segregation (with 24 NUPs with extensive attention), compared with other sub-themes such as 'ensuring access to basic urban services and infrastructure (39 NUPs)' and 'ensuring adequate and affordable housing' (32 NUPs). Under 'spatial structure', two sub-themes given the most extensive attention were 'tackling urban sprawl' (34 NUPs) and

'sustainable mobility' (32 NUPs), while slightly less attention was given to 'promoting urban-rural connectivity' (29 NUPs) and 'developing public spaces' (27 NUPs).

Table 3.2. Levels of attention of NUPs by sub-theme, n = 69

Theme	Sub-theme	Extensive	Moderate	Low
Spatial structure	Tackle urban sprawl, pursue sustainable land use and promote compact and connected cities	34	22	2
	Recognise urban-rural interdependency and promote connectivity between urban and rural areas	29	26	5
	Pursue sustainable mobility (e.g., foot, bike, public transit) in and between urban areas	32	16	9
	Develop public space as economic, human and environmental assets for cities	27	25	6
Economic development	Apply a system of cities approach and promote balanced territorial development in a country, connectivity among cities	31	22	3
	Increase productivity and competitiveness in cities of all sizes	27	24	6
	Promote education and skills in labour market in cities	10	24	23
	Adapt technological innovation	12	25	17
Human development	Alleviate poverty	24	18	15
	Ensure access to basic urban services and infrastructure (e.g., water, sanitation, waste management, public transport, digital infrastructure)	39	15	3
	Ensure adequate and affordable housing	32	15	8
	Promote social cohesion and fight against spatial segregation	24	23	9
Environmental sustainability	Promote circular economy in cities	13	25	20
	Promote sustainable urban consumption and production patterns	12	29	16
	Improve air and water quality	21	30	7
	Reduce GHG emissions and promote low-carbon transition in cities	22	24	11
Climate resilience	Identify risks and promote disaster risk management strategies	24	22	11
	Promote risk-sensitive land use in urban areas	28	18	11
	Promote green and blue infrastructure, ecosystems, biodiversity and nature-based solutions	19	29	9
	Develop disaster risk financing mechanisms	13	13	31

Note: The sum of each row is smaller than the total number of NUPs (69), due to the fact that not all countries provided answers to all the sub-themes. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

The NUP country survey 2020 also identified thematic focuses other than the five themes. Common answers were on education, culture and social integration, among others. NUPs in **Bolivia** and **Mexico** give particular attention to indigenous communities, while gender and inter-generational integration are key themes in the NUP of **Brazil**. In **Finland**, immigration and newcomer policies are covered by its NUP. Moreover, smart cities, smart technologies and urban innovation are reported as important themes in NUPs in the **Czech Republic**, **Finland**, **Madagascar**, **Malawi** and **Portugal**.

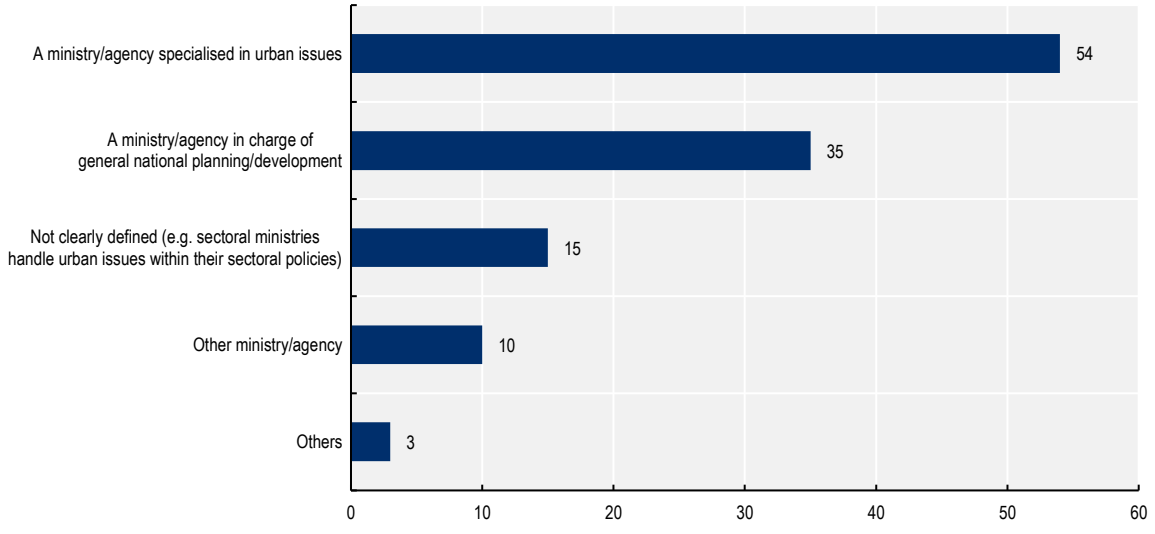
Institutions leading the NUP process

Regarding the institutions leading their NUP process (Figure 3.9), 54 out of 86 countries (63%) rely on a ministry or agency specialised in urban issues to lead the NUP process. These ministries or agencies are to a large extent specialised in housing, infrastructure, spatial planning, environment and urban development. Examples include the Ministry of Housing and Urban Development in **New Zealand** and **Chile's** National Council for Urban Development. In 35 countries (41%) a ministry or agency in charge of general national planning or development is leading the process. Examples include the Ministry of Finance in **Estonia**, the Planning Administration in **Israel**, the Ministry of Transport and Local Government in **Iceland**, the Ministry of Sustainable Development and Tourism in **Montenegro**, the Federal Ministry of the Interior, Building and Local Community in **Germany**, and the Office of the National Economic and Social Development Council in **Thailand**. In **Hungary,** the Prime Minister's Office is taking the lead. In some countries, the Ministry for Local Government is leading the NUP process, for example **Norway** and **Zambia**. Six countries reported that the ministry responsible for regional development is leading the NUP process: **Brazil, Bulgaria,** the **Czech Republic, Latvia, Poland**. In **Austria**, the Ministry for Agriculture, Regions and Tourism is co-ordinating the NUP process.

In some countries, two or more ministries are co-leading the NUP process. For example, in **Finland** the Ministry of Economic Affairs and Employment is co-leading it with the Ministry of the Environment. In **Tanzania**, the President's Office, Regional Administration and Local Government, and two other ministries are involved in leading the NUP process.

Fifteen countries (22%) indicated that the NUP leading institution is 'not clearly defined' as there is not a national ministry with clear mandate for urban issues, and urban policy is dealt with as part of different sectoral policies at national level. This is the case for **Costa Rica, Eswatini, Kazakhstan, Nepal, Netherlands, Rwanda, Saudi Arabia** and **Sweden**.

Figure 3.9. Institutions leading the NUP, n = 86



Note: Respondents were allowed to select multiple responses. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Ways forward

The findings of this chapter indicate that NUPs have become more explicit, operational and comprehensive since 2018. Of the 162 identified NUPs, 91 (56%) are identified as explicit NUPs, compared with 51% in 2018; many NUPs have advanced from diagnosis to formulation and implementation stages; and the levels of extensive and moderate attention increased for four out of five thematic areas.

In light of the COVID-19 recovery, countries face an increasing need for strengthening place-based decision-making and coherence in urban development. NUPs should play a more explicit role in developing a strategic and shared vision and co-ordinating policies across sectors and levels of government. A more clearly formulated NUP can drive more coherence across different urban policies undertaken at the national level (OECD, 2017[4]), and provide more effective support to cities and towns to tackle their complex challenges (United Nations, 2016[3]).

In addition to explicit NUPs, the survey stressed the importance of other national level policies that affect urban areas, which interconnect to form a systemic NUP framework. Such policies were found to ensure and promote engagement, participation, co-ordination and implementation mechanisms.

Countries should also continue to make their NUPs more comprehensive, by giving attention to a wide range of themes reflecting their urban policy contexts. Growing attention to climate resilience as a thematic area of NUPs indicates that NUPs are becoming an integrated urban management and planning systems

Finally, the analysis highlighted the lack of comprehensive and disaggregated urban data as a key challenge in the formulation of NUPs. Strategies to improve the collection of disaggregated urban data need to be put in place as the basis of NUP formulation and to ensure regular and effective monitoring and evaluation of such policies.

Annex 3.A. List of NUP

Annex Table 3.A.1. List of NUP (identified from the NUP country survey)

Responding Country (n=86)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
Algeria	*Politique aménagement du territoire, urbanisme et ville*	2010	Yes	Implementation	Ministère de l'Habitat, de l'Urbanisme et de la Ville (MHUV) Ministère de l'Intérieur, des Collectivités Locale et de l'Aménagement du Territoire (MICLAT)	Loi n° 10-02 du 29 juin 2010 portant approbation du Schéma National d'Aménagement du Territoire. https://www.joradp.dz/FTP/jo-francais/2010/F2010061.pdf
Armenia	National Urban Strategy	2019	Yes	Formulation	Urban Development Committee	In progress
Australia	"Smart Cities Plan" and (its main delivery mechanism) "City Deals"	2016	Yes	Implementation	Department of Infrastructure, Transport, Regional Development and Communications	https://www.infrastructure.gov.au/cities/city-deals/ https://www.infrastructure.gov.au/cities/smart-cities/plan/index.aspx
Austria	Strengthening centres of cities and towns	2019	No	Implementation	Austrian Conference on Spatial Planning	https://www.oerok.gv.at/raum/themen/staerkung-der-orts-und-stadtkerne
Azerbaijan	Urban Planning and Construction Code		No	Implementation		https://apa.az/az/i%%CC%87nfrastruktur/milli-sehersalma-ve-tikinti-normativ-senedleri-bazirlanacaq-547331
Belgium	*Développement d'une offre ferroviaire suburbaine type RER*	2015	No	No information	SNCB	https://www.belgiantrain.be/fr/about-sncb/themes/rer
Bolivia	*Politica Nacional para el Desarrollo Integral de Ciudades* (National Policy for the Integral Development of Cities)	Under development	Yes	Formulation	Ministry of Public Works, Services and Housing/Vice-ministry of Housing and Urbanism	http://www.urbanobolivia.org/
Brazil	National Policy for Urban Development *(Politica Nacional de Desenvolvimento Urbano –*	Under development (to be launched in 2021)	Yes	Formulation	Ministry of Regional Development	No link (to be launched in 2021)

Responding Country (n=86)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
	PNDU)					
Bulgaria	Regional Development Policy (Regional Development Act; National Spatial Development Concept of the Republic of Bulgaria)	2018 (originally 2008)	No	Implementation	Ministry of Regional Development and Public Works	https://www.mrrb.bg/bg/zakon-za-regionalnoto-razvitie/ https://www.mrrb.bg/bg/nacionalna-koncepciya-za-prostranstveno-razvitie-za-perioda-2013-2025-godina/
Burkina Faso	*Politique nationale de l'habitat et du développement urbain*	2008	Yes	Implementation	Ministère de l'Urbanisme et de l'Habitat	N/A
Cabo Verde	*Política nacional do ordenamento do território e urbanismo* (National policy on spatial planning and urbanism)	2019	Yes	Monitoring and evaluation	Ministério das Infraestruturas do Ordenamento do Território e Habitação	https://www.governo.cv
Canada	Investing in Canada Infrastructure Programme	2017	No	Implementation	Infrastructure Canada	https://www.infrastructure.gc.ca/plan/icp-pic-INFC-eng.html
Chile	*Política Nacional de Desarrollo Urbano*	2014	Yes	Implementation	National Council for Urban Development	https://cndu.gob.cl/wp-content/uploads/2014/10/L4-Politica-Nacional-Urbana.pdf
Colombia	*Política de Ciudades 4.0*	2019	Yes	Formulation	Ministerio de Vivienda, Ciudad y Territorio	In progress
Costa Rica	National urban development policy 2018-2030 and action plan 2018-2022	2018	Yes	Implementation	Ministry of Housing and Human Settlements (MIVAH)	http://www.mivah.go.cr/Biblioteca_Politicas_Politica_y_Plan_Nacional_Desarrollo_Urbano.shtml
Croatia	Spatial Development Strategy of the Republic of Croatia	2017	Yes	Implementation	Ministry of Construction and Physical Planning	https://mgipu.gov.hr/o-ministarstvu-15/djelokrug/prostorno-uredjenje-3335/strategija-prostornog-razvoja-republike-hrvatske/4096
Cuba	National Land Planning Scheme; the National Urban Policy of Cuba	2018	Yes	Implementation	Institute of Physical Planning (IPF)	In progress
Czech Republic	The principles of urban policy of the Czech Republic	2017	Yes	Implementation	The Ministry for Regional Development	https://www.mmr.cz/getmedia/ede18d30-7bc2-4d2b-9011-f527446872e8/ZUP_2017.pdf?ext=.pdf
Denmark	Danish Act on Urban Renewal and Urban	2015	No	Implementation	Ministry of Business and Growth; Ministry of Immigration, Integration and Housing	https://www.retsinformation.dk/eli/lta/2015/1041 https://www.retsinformation.dk/eli/lta/2013/587

Responding Country (n=86)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
	Development; Danish Planning Act					
Ecuador	*Agenda del Hábitat Sostenible del Ecuador 2036*	2019	Yes	Formulation	Ministerio de Desarrollo Urbano y Vivienda	http://habitatsostenible.miduvi.gob.ec/
Estonia	National regional policy	2014	No	Monitoring and evaluation	Ministry of Finance	https://www.rahandusministeerium.ee/et/regionaalareng-ja-poliitika
Eswatini	Housing Policy	2001	No	Monitoring and evaluation	Ministry of Housing & Urban Development	N/A
Ethiopia	National Urban policy	2005, modified 2013	Yes	Implementation	Ministry of Urban Development and Construction	N/A
Finland	National Urban Strategy (under preparation - several initiatives, programmes and contract-based policy are actual forms of the NUP)	2019	Yes	Formulation	Ministry of Economic Affairs and Employment, Ministry of the Environment, Ministry of Finance	N/A
France	*Politique de la Ville*	2014	Yes	Monitoring and evaluation	Ministère de la cohésion des territoires et des relations avec les collectivités territoriales (MCTRCT) et l'Agence nationale de la cohésion territoriale (ANCT)	…
Germany	*Nationale Stadtentwicklungspolitik*	2008	Yes	Monitoring and evaluation	Federal Ministry of the Interior, Building and Community	https://www.nationale-stadtentwicklungspolitik.de/NSPWeb/DE/Home/home_node.html
Ghana	Ghana National Urban Policy Framework and Action Plan	2012	Yes	Monitoring and evaluation	Ministry of Local Government and Rural Development	http://www.mlgrd.gov.gh/ctn-media/filer_public/35/5f/355fece2-831e-4682-9a2e-fea73e4f334a/nup_framework___action_plan.pdf
Greece	Spatial and Urban Planning Reform [Law 4296/2014]; Environmental Improvement and Private Urban Planning [Law 4280/2014]	2014	No	Monitoring and evaluation	Ministry of Environment and Energy	N/A
Guatemala	National Urban Development Policy	In progress	Yes	Feasibility	CIV-Viceministerio de Desarrollo urbano y Vivienda	N/A
Honduras	Law of Territorial Ordinance	2003	No	Implementation	Ministerial Office of Socialisation and Digital	N/A

Responding Country (n=86)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
	of Honduras				Accompaniment of Presidential Projects	
Hungary	Modern Cities Programme	2017	No	Feasibility	Prime Minister's Office	N/A
Iceland	*Höfuðborgarstefna* (Capital-city policy)	In progress (2022)	Yes	Feasibility	Ministry of Transport and Local Government	In progress (basis for NUP is set in strategic regional plan for Iceland 2018-2024, "C.4 Capital-city policy": https://www.stjornarradid.is/library/02-Rit--skyrslur-og-skrar/Byggdaaaetlun_2018-2024_ENSKA.pdf https://www.stjornarradid.is/verkefni/sveitarstjornir-og-byggdamal/byggdamal/adgerdaaaetlun/adgerd/?itemid=7bb569f6-b2b1-11e8-942c-005056bc530c
Iran	National Urban Policy and Smart City Strategy Programme	In progress	Yes	Formulation	Ministry of Road and Urban Development (MoRUD)	N/A
Ireland	National Planning Framework	2018	No	Formulation	Department of Housing, Planning and Local Government	http://npf.ie
Israel	Comprehensive National Outline Plan for Construction, Development and Conservation (also referred to as NOP 35, National Master Plan 35 or Tama 35)	2016	No	Implementation	Israel Planning Administration	https://www.gov.il/he/Departments/General/tama_35_docs
Italy	National Program for Metropolitan Areas 2014-2020	2019	No	Implementation	Agency for Territorial Cohesion	http://www.ponmetro.it/
Japan	National Spatial Strategy	2015	Yes	Implementation	Ministry of Land, Infrastructure, Transport and Tourism	http://www.mlit.go.jp/common/001127196.pdf
Jordan	National Urban Policy	In progress	Yes	Formulation	Ministry of Local Administration (MoLA)	N/A
Kazakhstan	Decree of the Government of the Republic of Kazakhstan "On approval of the State program for development of regions for 2020-2025"	2019	Yes	Monitoring and evaluation	Ministry of National Economy of the Republic of Kazakhstan	http://adilet.zan.kz/rus/docs/P1900000990
Kuwait	Kuwait National	2017	No	Formulation	General Secretariat of the Supreme Council	http://www.newkuwait.gov.kw/home.aspx

Responding Country (n=86)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
	Development Plan				for Planning and Development	
Latvia	Regional Policy (strategy document – Regional Policy Guidelines 2021-2027)	2019	No	Implementation	The Ministry of Environmental Protection and Regional Development of the Republic of Latvia	http://polsis.mk.gov.lv/documents/6588
Lebanon	National Physical Master Plan of the Lebanese territory	2005	No	Formulation	Council for Development and Reconstruction	https://www.iau-idf.fr/fileadmin/DataStorage/Institut/Noc_competences/liban_SDATL_english.pdf
Lithuania	Comprehensive Plan of the Territory of the Republic of Lithuania	2019	Yes	Formulation	Ministry of the Environment	http://www.bendrasisplanas.lt/2019/12/13/en/
Luxembourg	*Aménagement du territoire*	2018	No	Monitoring and evaluation	Ministère de l'Énergie et de l'Aménagement du territoire, Département de l'aménagement du territoire	N/A
Madagascar	National Urban Development Policy	2019	Yes	Implementation	Ministère de l'Aménagement du Territoire, de l'Habitat et des Travaux Publics	N/A
Malawi	National Urban Policy	2019	Yes	Implementation	Ministry of Lands, Housing and Urban Development	https://urbanpolicyplatform.org/wp-content/uploads/2021/06/Malawi-Urban-Policy_2nd-April-2019.pdf
Malta	The Strategic Plan for the Environment and Development (SPED)	2015	Yes	Implementation	The document is intergovernmental, since the SPED is a national policy document intended to be applied horizontally within all government however the planning authority oversees the document	https://www.pa.org.mt/en/strategic-plan-details/strategic%%%%%20plan%20for%20the%20environment%20and%20development
Mexico	National Strategy for Territorial Planning (ENOT), the Sectoral Programme for Agrarian, Territorial and Urban Development 2019-2024; the National Programme for Territorial Planning and Urban Development (PNOTDU); the National Housing Programme (PNV); and the National Land Policy (PNS)	2019	Yes	Formulation	Secretariat for Agrarian, Land and Urban Development (SEDATU)	N/A
Montenegro	National Sustainable	2016	Yes	Monitoring and	Ministry of Sustainable Development and	http://www.nssd2030.gov.me/

Responding Country (n=86)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
	Development Strategy 2030 *(Nacionalna strategija održivog razvoja do 2030. Godine (NSOR))*			evaluation	Tourism	
Morocco	*Politique de la Ville*	2012	Yes	Monitoring and evaluation	Le Ministère de l'Aménagement du Territoire National, de l'Urbanisme, de l'Habitat et de la Politique de la Ville	http://www.mhpv.gov.ma/wp-content/uploads/2018/03/guide-pv.pdf
Myanmar	National Urban Policy of Myanmar	In progress	Yes	Formulation	Ministry of Construction	In progress
Namibia	National Spatial Development Framework: in line with the Urban and Regional Planning Act 2018	In progress	Yes	Feasibility	Ministry of Urban and Rural Development (MURD)	https://www.lac.org.na/laws/2018/6631.pdf
Nepal	National Urban Development Strategy	2017	Yes	Formulation	Ministry of Urban Development	In progress
Netherlands	*Regionale Verstedelijkingsstrategie*	In progress	Yes	Formulation	Ministry of Interior and Kingdom Relations	N/A
New Zealand	Government policy statement on housing and urban development	In progress (end 2021)	Yes	Diagnosis	Ministry of Housing and Urban Development	https://www.hud.govt.nz/urban-development/government-policy-statement-gps/
Nicaragua	National Transport Plan	2014	No	No information	Ministry of Transport and Infrastructure	https://openjicareport.jica.go.jp/pdf/12181012_01.pdf
Nigeria	National Urban Development Policy	2012	Yes	Implementation	Federal Ministry of Works and Housing	http://habitat3.org/wp-content/uploads/National-Report-Africa-Nigeria-English.pdf
Norway	White paper on urban sustainability and rural strength	2017	Yes	Implementation	Ministry of Local Government and Modernisation	N/A
Panama	National Territorial Planning Policy of Panama	2019	Yes	Diagnosis	Ministerio de Vivienda y Ordenamiento Territorial	www.Miviot.gob.pa, Resolución No. 468-2019 de 27 de junio de 2019
Paraguay	National Housing and Habitat Policy of Paraguay	2018	No	Formulation	Ministerio de Urbanismo Vivienda y Hábitat	https://www.muvh.gov.py/sitio/wp-content/uploads/2018/07/PNVH-Digital.pdf
Peru	National Urban Development Plan "Territory for All" 2006-2015	2006	Yes	Formulation	Ministerio de Vivienda, Construcción y Saneamiento	http://eudora.vivienda.gob.pe/OBSERVATORIO/destacados2/PlanNacionalDesarrolloUrbano20062015.pdf
Philippines	National Urban	2017	Yes	Implementation	Department of Human Settlements and Urban	https://hlurb.gov.ph/wp-

Responding Country (n=86)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
	Development and Housing Framework (NUDHF)				Development (DHSUD)	content/uploads/services/lgu/clup-guidebook/NUDHF%20Full%20Version%20-%20FINAL.pdf
Poland	National Urban Policy 2023	2015	Yes	Implementation	Ministry of Development Funds and Regional Policy	https://www.gov.pl/web/fundusze-regiony/polityka-miejska
Portugal	Sustainable Cities Strategy	2015	Yes	Monitoring and evaluation	DG Teertório	https://www.dgterritorio.gov.pt/sites/default/files/publicacoes/Cidades_Sustentaveis2020.pdf
Korea	1. Comprehensive National land Plan; 2. Do comprehensive plan; 3. Si/Gun comprehensive plan; 4. Regional plan; 5. Sector plan	2020	Yes	Feasibility	Ministry of Land, Infrastructure and Transport	N/A
Romania	Project (2019-2021) - Elaboration of urban policy as a tool for strengthening the administrative capacity and strategic planning of urban areas in Romania	2019	Yes	Diagnosis	Ministry of Public Works, Development and Administration	N/A
Russian federation	Spatial development strategy of the Russian Federation for the period up to 2025	2019	Yes	Monitoring and evaluation	Ministry of Economic Development	https://www.economy.gov.ru/material/file/a3d075aa813dc01f981d9e7fcb97265f/130219_207-p.pdf
Rwanda	National Urbanization Policy	2015	Yes	Implementation	Rwanda Ministry of Infrastructure	https://bpmis.gov.rw/asset_uplds/files/National%20Urbanization%20Policy.pdf
Sao Tome and Príncipe	National Spatial Planning	2019	Yes	Formulation	Ministry if Public Works, Infrastructures, Natural resources and Environment (MOPIRNA) / Cabinet of Territorial Planning (PNOT)	https://www.nrv-norvia.com/en/projects/national-plan-for-the-territory-development-of-sao-tome-and-principe
Saudi Arabia	National spatial policy	2019	Yes	Implementation	Ministry of Municipal and Rural Affairs	N/A
Senegal	*Lettre de politique sectorielle et du développement du ministère en charge de l'urbanisme*	2018	No	Diagnosis	Ministère en charge de l'urbanisme	N/A

Responding Country (n=86)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
Serbia	Sustainable Urban Development Strategy of the Republic of Serbia 2030	2019	Yes	Implementation	Ministry of Construction, Transport and Infrastructure	https://www.mgsi.gov.rs/lat/dokumenti/urbani-razvoj https://www.srbija.gov.rs/dokument/45678/programi-planovi-strategije-.php
Slovak Republic	The urban development policy of the Slovak Republic by 2030	2018	Yes	Implementation	Ministry of Transport and Construction	https://www.mindop.sk/uploads/media/177add300b0faa6f4201a4d8a240021e77552653.pdf
Slovenia	Spatial Development Strategy of Slovenia	2004	No	Formulation	Ministry of Environment and Spatial Planning	https://www.gov.si/assets/ministrstva/MOP/Publikacije/sprs_eng.pdf
Spain	Spanish Urban Agenda	2019	Yes	Implementation	Ministry of Transport, Mobility and Urban Agenda	https://apps.fomento.gob.es/CVP/detallepublicacion.aspx?idpub=BAW061 https://www.aue.gob.es/que-es-la-aue#inicio
Sweden	Strategy for Liveable Cities	2018	Yes	Implementation	Ministry of the Environment and Energy; Ministry of Finance (since 2019)	www.regeringen.se/4971fa/contentassets/b5640fd317d04929990610e1a20a5383/171823000webb.pdf Short version in English: https://www.government.se/49f4b6/contentassets/093aaf895dbd44119d5ee023138c0f94/strategy-for-livable-cities---short-version
Switzerland	*Politique des agglomérations 2016+ de la Confédération*	2016	Yes	Implementation	Office fédéral du développement territorial ARE (DETEC) et le Secrétariat d'État à l'économie (DEFR)	https://www.are.admin.ch/are/fr/home/villes-et-agglomerations/strategie-et-planification/politique-des-agglomerations.html
Tanzania	National Human Settlements Development Policy	N/A	No	Implementation	Ministry of Lands, Housing and Human Settlements Development	http://lands.go.tz/uploads/documents/en/1460190379-National_Human_Settlements_Development_Policy_2000_0.pdf
Thailand	The Twelfth National 2017-2021	2017	No	Monitoring and evaluation	Office of the National Economic and Social Development Council of Thailand (NESDC)	https://www.nesdc.go.th/nesdb_en/ewt_dl_link.php?nid=4345
Tunisia	*Politiques sectorielles*	2019: mobilité / 2015: habitat	No	Feasibility	MDCT/MEHAT/MALE/MT	N/A
Turkey	Integrated Urban Development Strategy and Action Plan (KENTGES) 2010-2023	2010	Yes	Monitoring and evaluation	Ministry of Environment and Urbanisation	https://kentges.csb.gov.tr/kentges-english-i-98653

Responding Country (n=86)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
Turkmenistan	Programme for the development of construction and energy in Turkmenistan for 2019-2025	2019	Yes	Implementation	Ministry of Construction and Architecture	N/A
Ukraine	State Strategy of Regional Development for the period until 2020	2014 (with amendments in 2019)	No	Feasibility	Ministry of Communities and Territories Development	https://zakon.rada.gov.ua/laws/show/385-2014-%%D0%BF
United Kingdom	City Deals	2011	No	No information	Ministry of Housing, Communities and local Government	N/A
United States	Community development block grant	1981	No	No information	U.S. Department of Housing and Urban Development	https://www.hudexchange.info/programs/cdbg-entitlement/
Zambia	National Urbanisation Policy	2019	Yes	Formulation	Department of Physical Planning, Ministry of Local Government	N/A

Annex Table 3.A.2. List of NUP (identified from desk research)

Country (n=76)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
Afghanistan	Urban National Priority Programme 2016-2025	2016	Yes	Feasibility	Directorate of Local Governance	http://policymof.gov.af/home/wp-content/uploads/2019/01/Urban-NPP.pdf
Albania	Law on Territorial Planning and Development	2014	No	Implementation	Ministry of Public Works and Transport	http://planifikimi.gov.al/index.php?eID=dumpFile&t=f&f=5636&token=984b991a0c725de5fa11e124cfbb746d25e5d054
Angola	*Politica Nacional de Ordenamento do Territorio e do Urbanismo*	2015	Yes	Feasibility	Ministry of Territorial Planning and Housing	N/A
Argentina	*Politica Nacional Urbana*	2019	Yes	Implementation	Ministry of the Interior, Public Works and Housing	https://unhabitat.org/sites/default/files/2020/03/pnu_final_-_pagina_simple_dec-2019.pdf
Bahrain	National Planning and Development Strategy	2007	No	Monitoring and evaluation	Ministry of Works, Municipalities Affairs, and Urban Planning	https://upda.gov.bh/en/category/other-laws-and-decrees#
Bangladesh	National Urban Sector Policy	2011	Yes	Implementation	Department of Urban Development; Ministry of Local Government	N/A
Belarus	State Scheme of the Territorial Organisation	2000	No	Implementation	Ministry of Architecture and Construction	N/A
Bhutan	Bhutan National Urbanisation Strategy	2011	Yes	Implementation	Ministry of Works and Human settlement, Department of Urban Development and Housing	https://www.mowhs.gov.bt/wp-content/uploads/2010/11/Bhutan_National_Urbanization_Strategy_2008.pdf (2008 Strategy)
Bosnia and Herzegovina	Spatial Plan Guide, Republic of Srpska	2007	No	Implementation	Ministry of Spatial Planning, Civil Engineering and Ecology	N/A
Botswana	Town and Country Planning Act	2013	Yes	Monitoring and evaluation	Ministry of Infrastructure and Housing	N/A
Brunei Darussalam	National Land Use Plan	2010	No	Implementation	Ministry of Development Funds	N/A
Burundi	Burundi Vision 2025	2011	No	Implementation	Ministry of Water, Environment, Spatial Planning and Town Planning	https://www.presidence.gov.bi/wp-content/uploads/2017/04/Vision-Burundi-2025.pdf
Cambodia	National Urban Development Strategy 2014-2018	2014	Yes	Implementation	Ministry of Land Management, Urban Planning and Construction	https://cambodia.unfpa.org/en/publications/national-strategic-development-plan-2014-2018
Cameroon	*Politique Urbaine Nationale*	2014	Yes	Monitoring and evaluation	Ministry of Housing and Urban Development	N/A
Chad	*Stratégie Nationale de*	2015	No	Formulation	Ministry of Urban Planning	N/A

Country (n=76)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
	Logement					
China (People's Republic of)	National Urbanisation Plan 2014-2020	2014	Yes	Implementation	Ministry of Housing and Urban Development	http://www.gov.cn/zhengce/2014-03/16/content_2640075.htm
Comoros	Poverty Reduction and Growth Strategy Paper	2011	No	Implementation	Ministère de l'Aménagement du Territoire, de l'Urbanisme, chargé des Affaires Foncières et des Transports Terrestres	N/A
Congo	National Development Plan	No information	No	Implementation	Ministry of Construction, Urban Planning and Housing	https://www.imf.org/-/media/Websites/IMF/imported-full-text-pdf/external/pubs/ft/scr/2012/_cr12242.ashx
Côte d'Ivoire	Service to Promote Home Ownership Tenure (SPAPF)	2011	No	Monitoring and evaluation	Ministry of Construction, Housing, Sanitation and Urbanism	N/A
Democratic Republic of the Congo	Decree Urbanism	1957	No	Implementation	Ministry of Infrastructure, Public Works and Reconstruction	N/A
Djibouti	*Strategie nationale de Développement Urbain 2012-2015*	2012	No	Implementation	Secretary of State for Housing	N/A
Dominican Republic	Organic Law of National development	2012	No	Implementation	Congress	https://www.intec.edu.do/downloads/documents/institucionales/marco-legal/Ley_1-12_LEY_ORGANICA_DE_LA_ESTRATEGIA_NACIONAL_DE_DESARROLLO.pdf
Egypt	National Urban Policy	2015	Yes	Diagnosis	Ministry of Housing, Utilities and Urban Development	N/A
El Salvador	*Política Nacional de Vivienda y Hábitat*	2015	Yes	Implementation	Ministry of Housing and Urban Development	http://observatorio.vivienda.gob.sv/archivo/Pol%C3%ADtica%20Nacional%20de%20Vivienda%20y%20H%C3%A1bitat%20VF.pdf
Eritrea	Master Plan for Cities	No information	No	Implementation	Ministry of Public Works	N/A
Fiji	Urban Upgrading Project	2014	Yes	Monitoring and evaluation	Ministry of Local Government, Urban Development, Housing and Environment	N/A
Gabon	Mooted National Urban Development Policy	2014	No	Diagnosis	Ministry for Promotion and Investment, Public Works, Transportation, Housing and Tourism	N/A
Gambia	Poverty Reduction Strategy 2007-2011	2007	No	Formulation	Ministry of Local Government and Lands	N/A
Guinea	*Politique Nationale Urbaine*	2017	Yes	Feasibility	Ministère de la Ville et de l'Aménagement du Territoire	N/A
India	National Urban Policy	2018	Yes	Implementation	Ministry of Housing and Urban Affairs	https://smartnet.niua.org/sites/default/files/resour

Country (n=76)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
	Framework					ces/nupf_final.pdf
Indonesia	National Policies and Strategies for Urban Development towards Sustainable Competitive Cities for 2045	2015	Yes	Implementation	Ministry of National Development	N/A
Iraq	National Urban Policy	In progress	Yes	Feasibility	Ministry of Municipalities and Public Works	N/A
Kenya	National Urban Development	2012	Yes	Formulation	Ministry of Land and Urban Development	N/A
Kiribati	Kiribati Development Plans 2012-2015	2012	No	Implementation	Ministry of Internal and Social Affairs	http://www.mfed.gov.ki/sites/default/files/kiribati-development-plan-2012-2015.pdf
Kyrgyzstan	National Sustainable Development Strategy 2013-2017	2013	No	Implementation	National Council for Sustainable Development	https://www.un-page.org/files/public/kyrgyz_national_sustainable_development_strategy.pdf
Lao People's Democratic Republic	Master Plan for Comprehensive Urban Transport in Vientiane Capital	2006	No	Implementation	Urban Development and Administration Authority	N/A
Liberia	National Urban Policy	2015	Yes	Diagnosis	Ministry of Internal Affairs, development of Urban Affairs	N/A
Libya	National Physical Perspective Plan 2006-2030	2006	Yes	Formulation	Urban Planning Agency	N/A
Malaysia	National Physical Plan	2010	Yes	Monitoring and evaluation	Ministry of Housing and Local Government	https://www.planmalaysia.gov.my/index.php/en/lihat-rancangan-fizikal-negara
Maldives	National Strategies for Sustainable development	2009	No	Implementation	Ministry of Housing and Urban Development	N/A
Mali	*Politique Nationale de la Ville*	2014	Yes	Monitoring and evaluation	Ministry of Housing, Land Affairs and Urbanism	N/A
Marshall Islands	Vision 2003-2018 Strategic Development Plan Framework	2003	No	Feasibility	Majuro Atoll Local Government	N/A
Mauritania	Master Plan	2020	No	Implementation	Ministry of Equipment, Urbanism and Housing	N/A
Mauritius	National Development Strategy	2006	No	Feasibility	Ministry of Housing and Lands	https://housing.govmu.org/Documents/Planning/nds.pdf
Micronesia	National Strategic Development Plan 2004-	2004	No	Feasibility	Department of Housing and Urban Development	https://www.adb.org/sites/default/files/linked-documents/cobp-fsm-2015-2017-sd-02.pdf

Country (n=76)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
	2023					
Moldova	Concept of Sustainable Development of Settlements of the Republic of Moldova	2001	No	Implementation	Ministry of Regional Development and Construction	N/A
Mongolia	Comprehensive National Development Plan	2015	No	Formulation	Ministry of Construction and Urban Development	http://pdc.ceu.hu/archive/00003166/01/millennium_development_goals.pdf (2007 Strategy)
Mozambique	*Politica Urbana Nacional*	2017	Yes	Feasibility	Ministry of Housing and Lands	N/A
Nauru	National Sustainable Development Strategy 2005-2025	Revised 2009	No	Implementation	Ministry for Finance and Sustainable Development	https://www.sprep.org/att/IRC/eCOPIES/Countries/Nauru/2a.pdf
Oman	National Spatial Strategy and Oman Vision 2040	2010	No	Monitoring and evaluation	Supreme Committee for Town and Planning of the Sultanate of Oman	N/A
Pakistan	Vision 2025	2014	No	Diagnosis	Physical Planning and Housing Section in Planning Commission; Ministry of Climate Change	N/A
Palau	National Master Development Plan 2020	2006	No	Feasibility	Ministry of Public Infrastructure, Industries and Commerce	N/A
Papua New Guinea	National Urbanisation Policy (2010-2030)	2010	Yes	Implementation	Physical Planning Board	N/A
Qatar	National Development Strategy 2011-2016	2011	No	Implementation	Ministry of Development Planning and Statistics	N/A
Samoa	Samoa National Urban Policy	2013	Yes	Implementation	Planning and Urban Management Agency, Ministry of Natural Resources and Environment	N/A
Singapore	Master Plan	2015	No	Monitoring and evaluation	Urban Redevelopment Authority	https://www.ura.gov.sg/Corporate/Planning/Master-Plan
Solomon Islands	National Urban Policy (2016-2035)	No information	Yes	Formulation	Ministry of Lands, Housing and Survey	N/A
Somalia	Somali Urban Development Program for the Somali Region	2008	No	Implementation	Ministry of Planning	N/A
South Africa	Integrated Urban Development Framework	2016	Yes	Monitoring and evaluation	Department of Cooperative Governance and Traditional Affairs	https://iudf.co.za/
South Sudan	National Urban Policy	2012	Yes	Formulation	Ministry of Housing and Physical Planning	N/A
Sri Lanka	Megapolis Plan	2015	Yes	Implementation	Urban Development Authority	N/A
Sudan	National Urban Policy	2016	Yes	Diagnosis	Ministry of Economy and Planning and Ministry of Municipal and Rural Affairs	N/A

Country (n=76)	Name of NUP	Year	Explicit NUP	Stage	National urban agency	Weblink
Syrian Arab Republic	National Standards for Regional Planning and Spatial Planning	2014	Yes	Formulation	Higher Commission of Regional Planning	N/A
Timor-Leste	National Strategic Development Plan 2011-2030	2011	No	Feasibility	National Development Agency	N/A
Togo	Declaration of Policy of Urban Sector	No information	No	Implementation	Ministry of Urban Planning and Housing	N/A
Tonga	Tonga Strategic development Framework 2015-2025	2015	No	Implementation	Planning Urban and Management Division	http://extwprlegs1.fao.org/docs/pdf/ton168846.pdf
Tuvalu	National Strategy for Sustainable Development 2005-2015	2005	No	Diagnosis	No information	http://prdrse4all.spc.int/sites/default/files/tuvalu_national_strategy_for_sustainable_development.pdf
Uganda	Uganda National Urban Policy	2017	Yes	Implementation	Ministry of Lands, Housing and Urban Development	https://mlhud.go.ug/wp-content/uploads/2019/07/National-Urban-Policy-2017-printed-copy.pdf
United Arab Emirates	Urban and Regional Structure Framework (2030)	No information	No	Implementation	Abu Dhabi Urban Planning Council and Urban Planning Steering Committee	https://www.ecouncil.ae/PublicationsEn/plan-abu-dhabi-full-version-EN.pdf
Uruguay	Law for Land Use and Sustainable Development	2009	No	Implementation	Senate and House of Representatives of the Oriental Republic of Uruguay	N/A
Uzbekistan	Master Plan of Population Settlement	2010	No	Diagnosis	The Uzbek Agency of Communal Services	N/A
Vanuatu	Vanuatu Land Use Planning Policy	2013	No	Implementation	Physical Planning Unity, Ministry of Internal Affairs	http://extwprlegs1.fao.org/docs/pdf/van174015.pdf
Venezuela	Urban Land Law	2009	No	Implementation	National Assembly of the Bolivarian Republic of Venezuela	http://www.pcivil.gob.ve/wp-content/uploads/pdf/marco-legal/LEY-DE-TIERRAS-URBANAS.pdf
Viet Nam	Urban Development Management Law	In progress	Yes	Formulation	Ministry of Construction	N/A
Yemen	Regional Plans	2011	No	Feasibility	Ministry of Planning and International Cooperation	N/A
Zimbabwe	Growth Point/Rural Service Centre Strategy	1970	Yes	Implementation	Department of Physical Planning	N/A

References

OECD (2017), *National Urban Policy in OECD Countries*, OECD Publishing, Paris, https://dx.doi.org/10.1787/9789264271906-en. [4]

OECD/UN-Habitat/Cities Alliance (2020), *National Urban Policy Country Survey 2020*. [5]

UN-Habitat (2014), *The Evolution of National Urban Policies: A Global Overview*, UN-Habitat, https://unhabitat.org/the-evolution-of-national-urban-policies. [2]

UN-Habitat/OECD (2018), *Global State of National Urban Policy*, OECD Publishing, Paris/United Nations Human Settlements Programme, Nairobi, https://dx.doi.org/10.1787/9789264290747-en. [1]

United Nations (2016), *Policy paper 3: National urban policy*, https://habitat3.org/wp-content/uploads/Policy-Paper-3-English.pdf. [3]

Notes

[1] In the 2018 report, two types of NUP were identified: explicit NUPs and partial (or implicit) NUPs. An explicit NUP was defined as a policy with "a title of 'national urban policy' or variant such as 'national urbanization policy' or 'national urban strategy' or 'national urban development strategy'. The category of "partial, or implicit NUP" acknowledged that a policy document that is not explicitly labelled as NUP could in practice function as a NUP. A partial NUP was defined as having "many of the elements of a NUP but not yet brought together as a formal, or explicit NUP".

[2] In the 2018 report, such policies are not clearly defined and understood as NUPs. As a result, several countries indicated that they did not have a NUP (explicit or partial) in their urban policy landscape, even though there were national sectoral policies that have a spatial focus on urban areas.

[3] Clearer guidance was provided to assess the level of attention (extensive, moderate or low) for the NUP country survey 2020 as well as for the analysis, compared with the analysis for the 2018 report (see Chapter 1).

4 Factors for successful NUP processes

This chapter explores key factors for successful NUP processes, by analysing mechanisms for policy alingment and co-ordinatation, stekeholder engagement, and implementation and capacity gaps. Stakeholder engagement is key for better policy prioritisation in formulating and implementing NUP, which can also guide countries, regions and cities to more concerted alignment of their actions and agendas. In addition, conducive constitutional and legislative frameworks, national-subnational co-financing arrangements, the capacity and performance of local government, and democracy and transparency in governance, are important enabling factors.

Key findings

- Out of 86 countries surveyed, 64 (74%) have deployed formal multi-ministerial platforms between the leading NUP ministry or agency and relevant sectoral ministries.
- In order to co-ordinate between national and sub-national governments, 51 countries (59%) use legislation and regulatory mechanisms and 44 (51%) have a platform for dialogue between national and sub-national governments in different NUP stages.
- In 82 countries (95%), NUPs include at least one mechanism for horizontal policy alignment among local governments in and between urban areas.
- A large majority of countries engage sub-national governments 'extensively' or 'moderately' in the NUP process, which has flow-on benefits for NUP implementation. Forty-four NUPs (51%) have a platform for dialogue between national and sub-national governments in different NUP stages.
- In addition to sub-national governments, many countries are taking innovative measures to engage non-governmental stakeholders (urban residents, civil society, academia, the private sector) in the NUP process. Forty-three out of 66 countries (65%) have introduced special measures to ensure that their NUP is sensitive to vulnerable urban populations.
- Out of 48 responding countries with a NUP in the implementation stage or beyond, 26 countries (54%) consider insufficient financial and human resources to be two major NUP implementation challenges. This echoes the findings of the first edition of the global monitoring in 2018. Another major challenge is a lack of co-ordination caused by policy siloes and institutional fragmentation (23 countries, 48%).
- Of 48 surveyed countries, 32 (67%) reported that the most important source of financing NUP implementation is national government investment. They also recognise the need to mobilise diverse sources of financing, including national-sub-national co-financing (20 countries, 42%), public-private partnerships (12 countries, 25%) and private financing (9 countries, 19%) and mobilisation of communities or co-operatives (6 countries, 13%).

Aligning policies among and across levels of government

The success of a NUP is determined by a range of factors throughout the five stages of NUP (feasibility, diagnosis, formulation, implementation and monitoring and evaluation). National and sub-national governments, as well as their implementing agencies, are facing a number of challenges hereinafter analysed, including: aligning NUPs with other sectoral policies across government; determining the right levels of engagement with different stakeholder groups and at what stage of the process; and bridging the funding gap. This section examines alignment and co-ordination mechanisms among and across national, regional and local governments.

Horizontal co-ordination at the national level

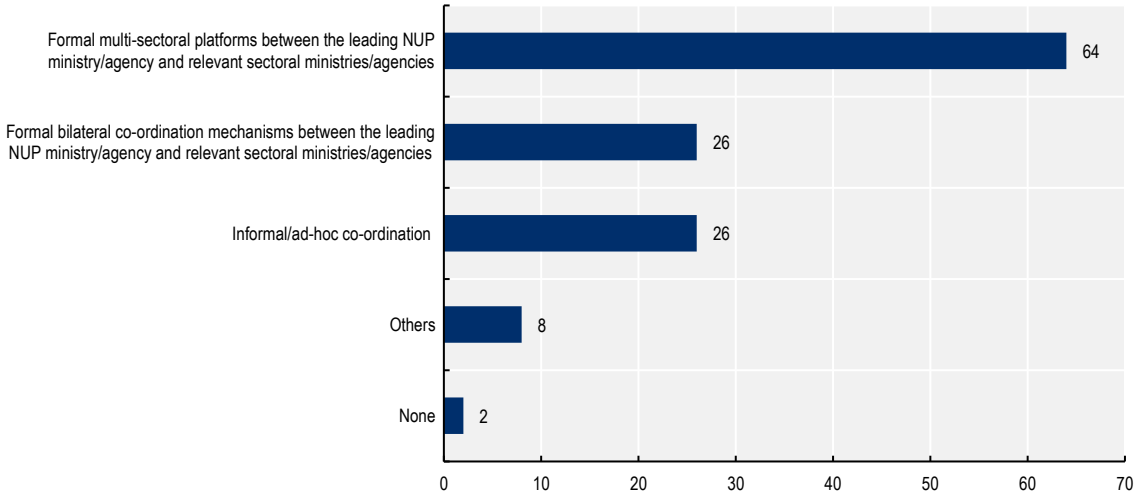
Most countries have formal alignment and co-ordination mechanisms between their NUPs and other sectoral policies with urban impacts at the national level (Figure 4.1). Out of 86 countries surveyed, 64 (74%) have deployed formal multi-ministerial platforms between the leading NUP ministry or agency and relevant sectoral ministries. Twenty-six countries (30%) also reported formal bilateral co-ordination mechanisms between the leading NUP ministry/agency and other ministries. Twenty-six countries (30%) reported that co-ordination across sectoral ministries is either informal or ad-hoc.

Several countries have longstanding experience with inter-ministerial co-ordination mechanisms for urban matters. An example is the Inter-ministerial Commission for the City, Housing and Territory (COMICIVYT) of **Chile**, which is led by the Ministry of Housing and Urban Planning and includes the Ministry of Interior Security, General Secretariat of the Presidency, the Ministry of Economy, Development and Tourism, and other line ministries in charge of social development such as public works, farming, mining, transport and telecommunications, national assets, energy and environment. COMICIVYT has put special emphasis on co-ordinating national efforts to improve citizens' quality of life, in light of the need for co-ordinated investments in public infrastructure as well as land-use planning. **New Zealand's** Ministry of Housing and Urban Development also uses cross-government mechanisms such as inter-agency working groups and cross-government agency management groups to develop and implement policies, including its NUP. In **Germany**, the Federal Ministry of the Interior, Building and Community and several other national ministries convened within a cross-departmental policy with spatial focus on "Social City (Soziale Stadt)" zones. **Ghana** has an operational Urban Advisory Platform that comprises all urban-related ministries, departments and agencies, allowing urban stakeholders to evaluate the progress of programmes and seek opportunities for partnerships as they arise.

A number of countries have recently introduced alignment and co-ordination mechanisms. **Burkina Faso** established the National Development Planning Commission (CNPD) by Decree in June 2019. In **Kazakhstan,** the council for the management of the Almaty agglomeration is being formed and intends to extend this experience to other urban agglomerations. **Namibia** established an Inter-institutional Task Team under the leadership of the Ministry of Urban and Rural Development (MURD) to undertake the National Urban Land Reform Programme. **Nepal** formed the Nepal National Urban Forum in December 2019, and the country's umbrella Urban Development Act is soon going to take effect.

Ireland is currently in the early stages of forming an operations-focused urban forum/task force for each of its five cities, reflecting the metropolitan area strategic plan. Each task force aims to include a co-ordinating and enabling function. The initiative is led by the Department of Housing, Planning and Local Government (DHPLG).

Figure 4.1. Mechanisms to align NUP with sectoral policies at the national level, n = 86



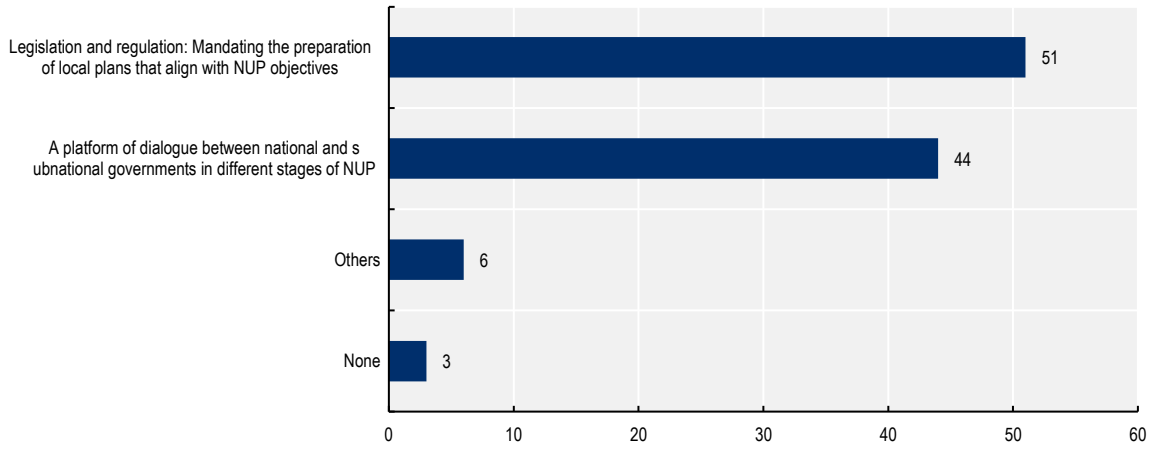
Note: data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. Respondents were allowed to select multiple responses.

Vertical coordination between national and sub-national governments

Most of the responding countries also have formal mechanisms for vertically aligning policies in the NUP process. Out of 86 countries, 51 (59%) use legislation and regulatory mechanisms and 44 (51%) have a platform of dialogue between national and sub-national governments in different NUP stages (Figure 4.2). Some countries have developed a multi-sector, multi-level co-ordination mechanism, which engages both national sectoral ministries and sub-national governments, and in some cases also includes non-governmental stakeholders:

- **Czechia** created the National Permanent Conference in 2015 to serve as a high-level communication platform. Different ministries, managing authorities, regions, cities and other territorial partners participate. The main role of the conference is to address issues regarding the territorial dimension of European funds as well as regional, urban and rural development aspects. In addition, 13 Regional Permanent Conferences provide regular meetings for representatives of regional, urban and local governments, economic and social partners and representatives of civil society in all Czech regions and provide inputs for the National Permanent Conference.
- **Israel** also strives to facilitate vertical policy alignment. In September 2019, the Planning Administration called for proposals to local authorities and regional planning bureaus to identify and submit areas suitable for urban regeneration. Over 100 proposals from 70 local authorities were submitted and will be assessed based on a set of quality-driven criteria, such as the project's location, its potential to impact on its surrounding area and to improve the public sphere, and the engagement of the local community and local authority. The selected areas will be re-planned through policy documents, outline plans and strategic regeneration plans. The national government finances the planning processes and provides professional guidance.
- **Zambia's** vertical alignment mechanisms are linked to the different stages of a NUP. During diagnosis and formulation, the Ministry of Local Government held consultative meetings with local authority representatives and provincial level institutions to align the NUP with sub-national policies and programmes. During the implementation phase, the existing District and Provincial Development Co-ordinating Committees ensure vertical policy alignment. The NUP proposes the establishment of a NUP Implementation Unit, ensuring both vertical and horizontal policy co-ordination and alignment, spearheading monitoring and evaluation, and building capacity, including resource mobilisation for the implementation of activities.

Figure 4.2. Mechanisms for vertical policy alignment in the NUP process, n = 86



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. Respondents were allowed to select multiple responses.

Horizontal co-ordination within and between urban areas

In 82 out of 86 countries (95%), NUPs include at least one mechanism for horizontal policy alignment among local governments in and between urban areas. The two most common mechanisms are 'formal arrangement to ensure co-ordination among local governments in the urban area' (47 countries out of 86, or 55%) and 'capacity building or technical assistance programmes for local government policymakers/officials to facilitate co-ordination' (42 countries, 49%). This is followed by 'fiscal and financial incentives from national government' (28 countries, 33%), 'monitoring and information sharing (e.g. comparable data across local governments) to facilitate co-ordination' (21 countries, 25%) and 'informal, voluntary arrangements to facilitate co-ordination among the local governments in the urban area' (21 countries, 24%) (Figure 4.3).

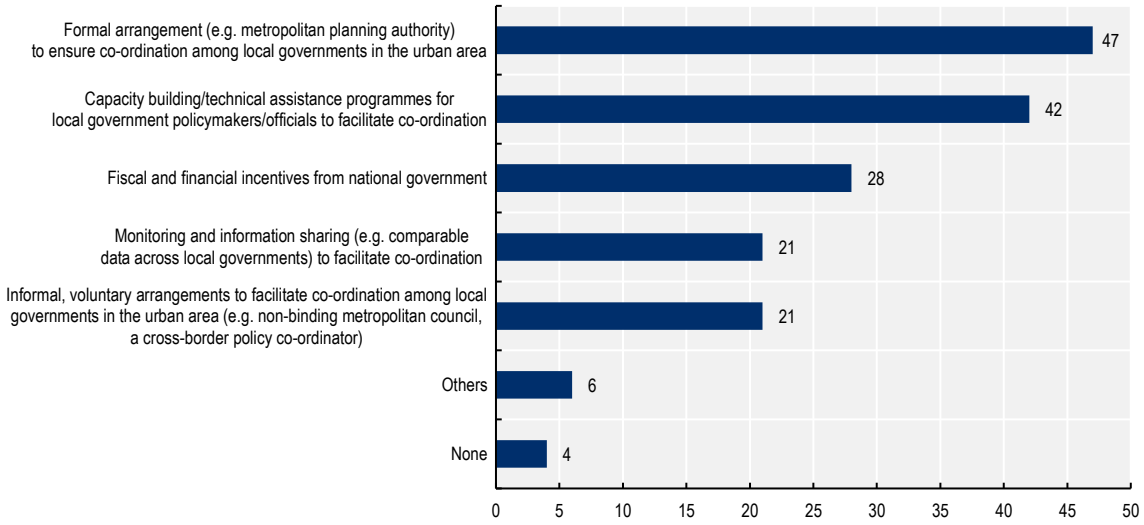
Several countries have formal arrangements in place to align sub-national policies for urban matters. For instance, **Canada's** Metro Vancouver collaboratively plans for and delivers regional-scale services. It regulates air quality and urban growth, manages a regional park system and provides affordable housing. Metro Vancouver is a political body and corporate entity operating under provincial legislation and is governed by a board of directors comprised of elected officials from each local authority. In **Latvia**, the Development Planning System Law mandates co-ordination for the drawing up of development and policy planning documents; at the same time, five regional public bodies which are supervised by the Ministry of Environment and Regional Development, ensure co-ordination of local municipalities' interests under regional development strategies. There are also several associations representing local municipalities to ensure co-ordination of priorities and investments among local governments, such as Latvian Association of Local and Regional Governments, Latvian Large Cities Association, Association of Regional Centres, Association of Coastal Municipalities, Association of Municipalities of Riga Metropolitan Area. **Nigeria's** NUDP provides for the establishment of a National Urban and Regional Commission at the national level with similar bodies at state and local government levels for overall co-ordination, although full implementation of this provision has not yet occurred,

National fiscal incentives in **Finland** are linked to 'MAL contracts', which are joint municipal plans in major city regions to integrate land use, infrastructure for new housing areas and sustainable transport. New agreements are being negotiated for urban regions of Helsinki, Tampere, Turku and Oulu for 2020-31. **Ireland** is providing a EUR 2 billion Urban Regeneration and Development Fund for a wide range of projects, such as low carbon and climate resilient projects in an urban context. **Mexico's** Metropolitan Fund seeks to make an impact by investing in sustainable mobility, green-blue infrastructure, public space and infrastructure for resilience, water and waste management. In addition, its Secretariat for Agrarian, Land and Urban Development (SEDATU) facilitates the signing of collaboration agreements in 74 metropolitan areas, facilitating joint planning and metropolitan governance.

Some countries prefer informal co-ordination mechanisms which build on one or more associations of municipalities. Highlighting the strategic importance of its supra-municipal scale of action as an asset and strategy for the delivery of its NUP, **Brazil**'s Public Consortium Law and Metropolis Status, and the National System of Urban and Metropolitan Information (an instrument of its NUP), support consortiums, exchange, technical co-operation and joint actions for urban development.

Examples shared by various European countries, such as **Bulgaria, Czechia, Estonia, Latvia, Serbia** and **Ukraine**, show that they have been active in enabling multiple horizontal policy-alignment mechanisms within countries and across borders. For example, in **Bulgaria**, regional development councils have been established to ensure horizontal co-ordination. The country's regional integration plans are the basis for investment which are implemented through co-ordinated partnerships between several municipalities.

Figure 4.3. Mechanisms for horizontal policy alignment among local governments in and between urban areas, n = 86



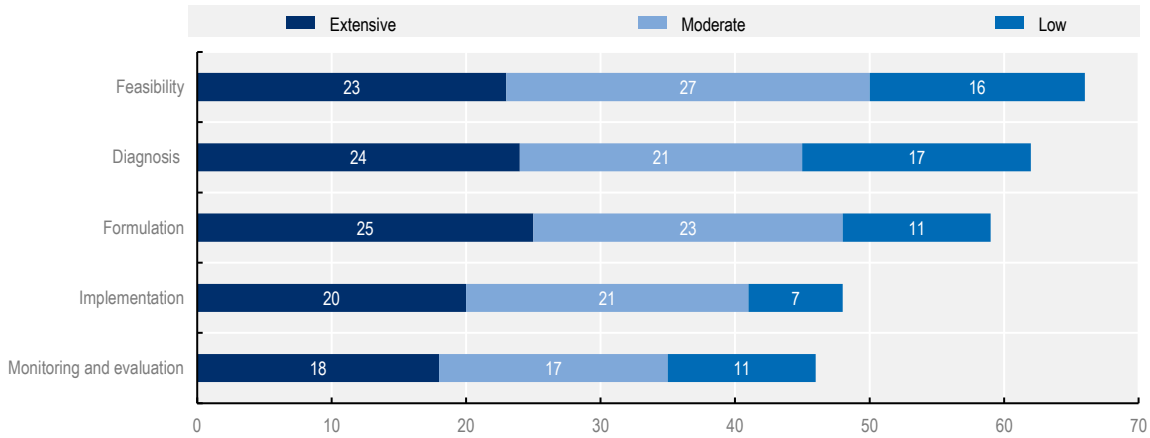
Note: data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. Respondents were allowed to select multiple responses.

Working together with stakeholders

Engaging sub-national governments

This section examines the extent and means for engaging sub-national governments and other non-governmental stakeholder groups in the NUP process. The analysis, based on the NUP country survey, suggests that in most cases sub-national governments have been substantially engaged throughout the NUP process (Figure 4.4). For example, 48 of 59 responding countries (81%) engage sub-national governments extensively or moderately during the formulation process.

Figure 4.4. Engagement of sub-national governments in the NUP process, by level of attention and by stage of NUP development, n = 86



Note: Not all countries provided answers to all the questions for this analysis. The number of responding countries also reflects the stages of development of their NUPs. Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020

- In **Australia**, all City Deals involve engagement with sub-national governments, as they require a partnership between different levels of government in order to be agreed and delivered. Each City Deal involves different types and levels of engagement.
- In **Brazil**, currently in the formulation phase, the national municipal associations provide strong representation of sub-national governments and participate at strategic times during the formulation process.
- **Chile** established a multi-stakeholder National Council for Urban Development to monitor the NUP's implementation and support a holistic view to urban development through diverse representatives from the central government, local governments, the private sector and civil society. They also established several regional councils for urban development, with a view to fostering place-based urban policymaking (Box 4.1).
- **France** identified an extensive contribution of sub-national governments to the formulation phase of the NUP. This was achieved through consultations with key stakeholders and actors in regional and local urban policies, to define and prioritise the NUP objectives into a roadmap. This roadmap was further strengthened by the commitments of sub-national governments and the private sector, which were formalised into pacts.

One of the key outcomes of engagement with sub-national authorities in the formulation phase is better prioritisation of different policy challenges, as reported by **Estonia, Eswatini**, **Jordan**, **Netherlands, Nigeria, Saudi Arabia** and **Spain**. They also reported that better prioritisation has led to concerted action by some sub-national authorities to undertake aligned actions. In **Ecuador**, joint roadmaps and feedback moments were developed not only for the NUP agenda, but also for parallel regulations. In **Myanmar**, sub-national engagement led to more comprehensive and action-oriented results. In **Poland**, it led to a more precise, qualitative and coherent national policy document. In **Spain**, some regional governments are preparing sub-national urban agendas that are aligned, both in their objectives and in their indicators, with the Spanish Urban Agenda (also see Box 6.5).

Some countries have shared valuable lessons on the lack of sub-national engagement. In **Peru**, the low level of participation of the sub-national governments in the elaboration of the 'National Plan for Urban Development Territory for All' resulted in the municipalities not giving importance to the planning process, leaving real estate developers to set urban development patterns, and preventing the ministry from exploiting synergies and articulating objectives with sub-national governments.

Box 4.1. Stakeholder engagement in Chile's National and Regional Councils for Urban Development

Chile's National Council for Urban Development (CNDU) was created in parallel with its NUP, with the aim of monitoring its implementation, and at the same time to serve as an advisor and counsellor on urban policy at the national level, developing initiatives and policy recommendations with a view on contributing towards cities' improvement and fostering residents' quality of life.

The CNDU is composed of 31 representatives, including central and local government representatives, the private sector, academia and civil society. The main tasks of the CNDU are:

- Assess sectoral policies on issues that have relevant implications in the development of cities and territories, making relevant proposals.
- Enrich urban public policies to promote continuous improvement of Chilean cities.
- Mediate and integrate the public, private, academic and social areas around the construction of the city with a long-term view.

- Advise the national government on the implementation of the five areas of the NUP; social integration, economic development, environmental balance, identity and heritage, institutionalisation and governance. This implies deepening and proposing reforms on institutional, legal and functional dimensions.
- Establish urban development council at the regional level, in order to ensure that regional views are fully considered in the work of CNDU.
- Contribute to the fulfilment of the international agreements that Chile has signed regarding: New Urban Agenda, Agenda 2030 for Sustainable Development, Sendai Framework for Disaster Risk Reduction and Paris Agreement on Climate Change.

The CNDU gathers different stakeholders with diverse backgrounds, allowing for an exchange of experience and knowledge and creating opportunities for work under a constant deliberation exercise for research. The CNDU invites diverse research centres and academic institutions to generate co-operation opportunities and agreements in order to reinforce and promote a local, regional and national discussion agenda on urban issues.

Chile also created Regional Councils for Urban Development to promote the decentralisation process required to foster urban policies with a place-based approach. This process began in 2019 in two regions out of 17. Four regional councils have been implemented to date.

Regional councils for urban development aim to: i) advise regional authorities on urban development issues; ii) enhance the co-ordination between the different regional urban actors; iii) enrich national and regional public policy proposals in urban matters; iv) collaborate on the definition of a vision for the development of regional cities with a coherent approach to the NUP; v) propose a regional perspective for the implementation of the NUP; vi) establish a bridge of collaboration between this regional instance and the CNDU. In this way, regional councils promote discussion and solutions, from a local perspective and incorporate local actors which are better suited and more informed about each region's reality.

Source: (OECD/UN-Habitat/Cities Alliance, 2020[1]).

The Global Taskforce-UCLG 2020 survey on the localisation of the SDGs and the 2030 Agenda also provides insights on sub-national government engagement in the NUP process (Box 4.2). The survey analysed the participation of local and regional governments (LRGs) and local government associations (LGAs) in their countries' NUPs. The result shows a somewhat different picture from that previously discussed, based on the NUP country survey. Although the majority of the 89 respondents of the survey confirmed that they recognise their NUPs, a quarter do not know whether a NUP exists or not in their countries. This implies that local and regional governments in these countries do not feel sub-national engagement as strongly. In addition, although a large majority of LRGs and LGAs contribute into the NUP process, their participation is reported to be 'moderate' during feasibility and diagnosis phases (48% and 43% respectively). The result shows that the involvement of LRGs and LGAs decreases and remains low after the formulation stage, implying that national governments should engage them in a more extensive manner in the post-formulation stages to support more effective implementation, monitoring and evaluation of NUPs.

Box 4.2. The Global Taskforce-UCLG 2020 survey on the localisation of the SDGs and the 2030 Agenda

In 2020, the Global Taskforce of Local and Regional Governments and United Cities and Local Government (UCLG) carried out a survey to understand the level of localisation of the SDGs around the world. The survey was addressed at LRGs and LRAs from several world regions: Latin America, Africa, Middle East and West Africa, North America, Eurasia and Asia-Pacific (Europe is not included in this analysis). 89 participants (45 LGAs and 44 LRGs) responded.

The survey included three questions regarding NUPs in their countries.

- The first question was whether the country has or is in the process of developing NUPs or strategies. Sixty-nine% of the LGAs and 55% of the LRGs said their countries have NUPs, while 16% of both LGAs and LRGs replied that their countries do not have NUPs. A further 16 and 30% respectively said they do not know whether a NUP exists in their country.
- Where a NUP was in place, a second question inquired whether LGAs had contributed to the NUP process. The majority of LGAs (23) said they had contributed to the process, whereas 6 LGAs responded they had not.
- When a NUP was in place and engagement at sub-national level confirmed, a third question focused on the stage (from feasibility to evaluation) and level (low, moderate, extensive) at which such a contribution was. According to the results, most LGAs were engaged at the feasibility and diagnosis stage, while the level of engagement decreases at the formulation stage and remains low after it.

Source: Global Taskforce of Local and Regional Governments and United Cities and Local Government (2020), *Global Taskforce-UCLG 2020 survey on the localisation of the SDGs and the 2030 Agenda*.

Engaging non-governmental stakeholder groups

The NUP country survey also examined the extent to which three non-governmental stakeholder groups (civil society/community organisations, academia and research institutions, and the private sector) have been engaged in the NUP process (Figures 4.5, 4.6 and 4.7).

During the diagnosis stage, 43 out of 72 responding countries (60%) have engaged civil society/community organisation, 42 (58%) countries have engaged academia or research institutions, and 37 (51%) have engaged the private sector, either extensively or moderately. During the formulation stage, 37 out of 68 countries (54%) reported either an extensive or moderate engagement with civil society/community organisation/citizens, 35 (51%) with academia/research institutions, and 33 (49%) with the private sector.

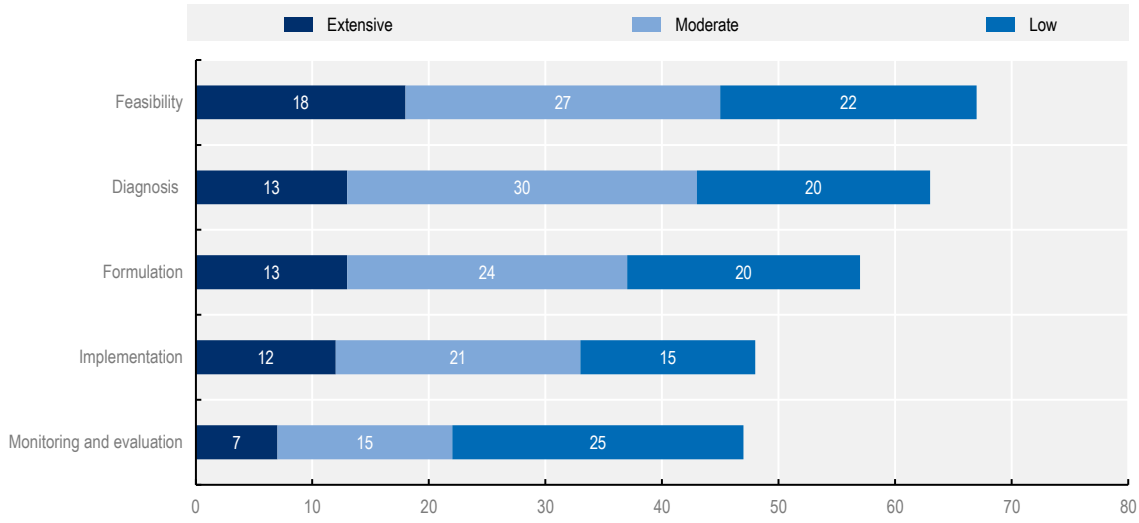
Among the three non-governmental stakeholder groups, the analysis shows that the private sector is not as engaged as the other stakeholder groups. For example, during the implementation stage, only 9 out of 47 responding countries (19%) have engaged the private sector extensively, compared with academia/research institutions (13 out of 48 countries, 27%) and civil society/community organisations (12 out of 48 countries, 25%). The same trend is observed in all the NUP processes.

The data shows that the level of engagement is different across stages of NUP. Overall, while non-governmental stakeholder groups are engaged relatively well during earlier stages (e.g. feasibility, diagnosis and formulation), this is not the case during the monitoring and evaluation stage. Taking civil society/community organisation as an example, only 7 out of 48 countries (15%) engaged them extensively during the monitoring and evaluation stage, compared with the feasibility (18 out of 67 countries, 27%),

diagnosis (13 out of 63, 21%), formulation (13 out of 57, 23%) or the implementation stage (12 out of 48, 25%).

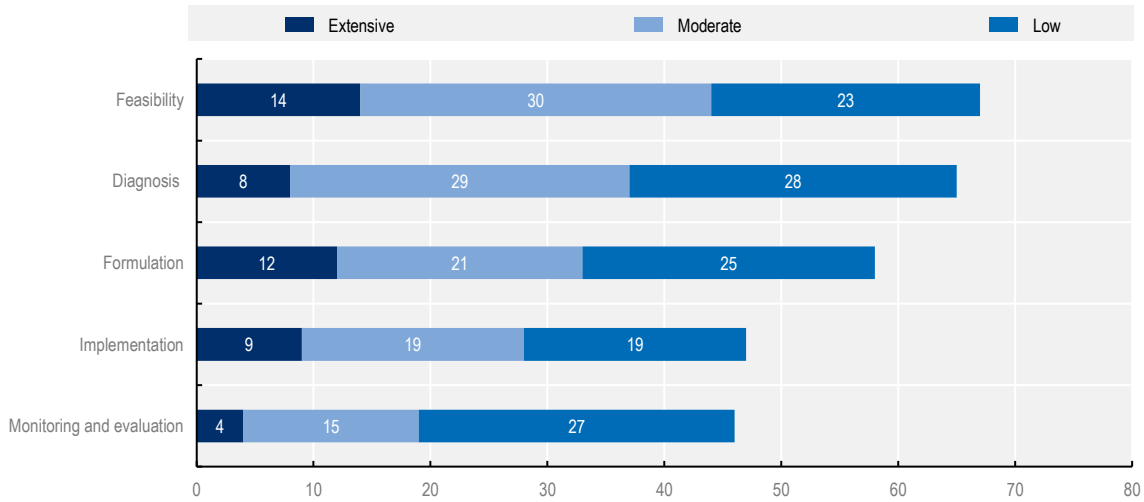
The NUP country survey provided a variety of practices engaging non-governmental stakeholder groups. **Paraguay** extensively engaged all three non-governmental stakeholder groups during the formulation phase by sharing the draft NUP document for feedback ahead of face-to-face meetings and virtual discussions. The formulation of the NUP was also enriched by exchanges with academic experts and leaders of housing policy in different parts of the world, and discussion materials were made available online. **Mexico** has engaged civil society and citizens through state forums organised in the cities of Toluca, Pachuca and Mexico City throughout the development of its national development plan. In addition, an inter- and multi- sectoral forum on "Sustainable Developmnent and Territory" was organised by the Secretariat for Agrarian, Land and Urban Development (SEDATU) in collaboration with the Ministry of Environmental Resources. In **Zambia**, the Ministry of Local Government engaged grassroots women's organisations and People's Process on Housing and Poverty as part of a technical committee during the diagnosis and formulation stages of the NUP, in order to ensure the NUP process was fully inclusive.

Figure 4.5. Engagement of civil society and community organisations in the NUP process, by level of attention and by stage of NUP development, n = 86



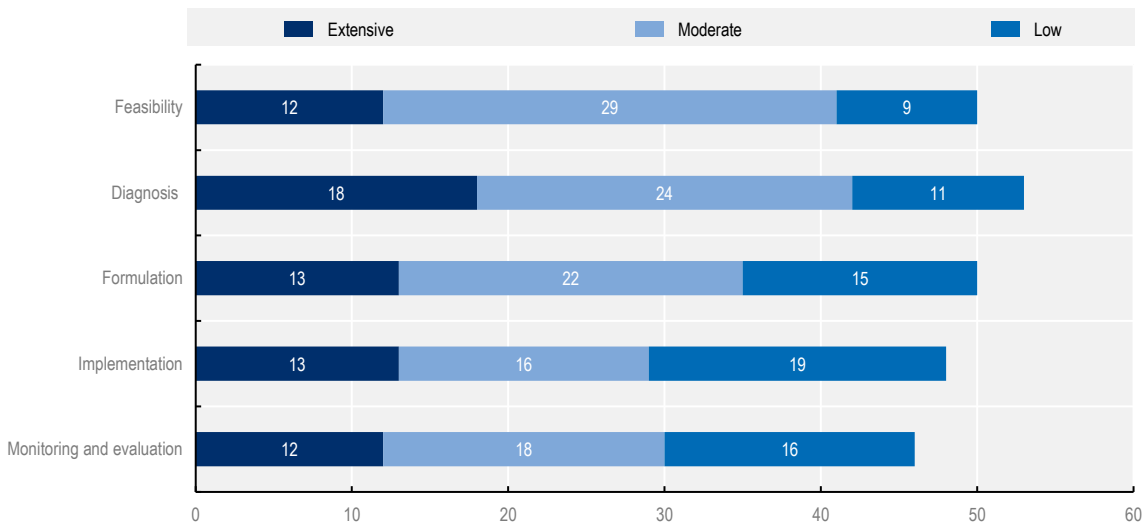
Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. Not all countries provided answers to all the questions for this analysis. The number of responding countries also reflects the stages of development of their NUPs.

Figure 4.6. Engagement of the private sector in the NUP process, by level of attention and by stage of NUP development, n = 86



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. Not all countries provided answers to all the questions for this analysis. The number of responding countries also reflects the stages of development of their NUPs.

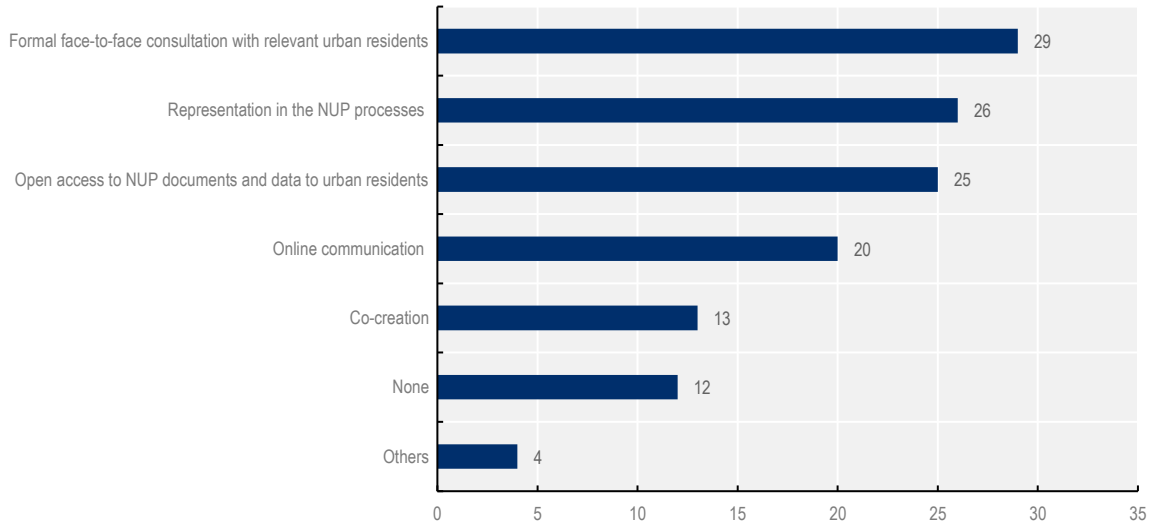
Figure 4.7. Engagement of academia and research institutions in the NUP process, by level of attention and stage of NUP development, n = 86



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. Not all countries provided answers to all the questions for this analysis. The number of responding countries also reflects the stages of development of their NUPs.

The three most used means to ensure the participation of urban residents in the NUP process are: 'formal face-to-face consultation of relevant urban residents' (29 countries out of 86, or 34%); 'representation in the NUP process' (26 countries, 30%) (e.g. inviting key urban residents in a steering committee/expert group meetings); and 'open access to NUP documents and data to urban residents' (25 countries, 29%). This was followed by 'online communication', such as a web-based survey (20 countries, 23%). 13 countries (14%) use 'co-creation' such as inviting urban residents to be part of the formulation or monitoring of NUPs (Figure 4.8).

Figure 4.8. Means of citizen engagement in the NUP process, n = 86



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. Respondents were allowed to select multiple responses.

Many countries shared their innovative initiatives to increase the participation of residents in the NUP process and/or raise awareness and foster knowledge sharing:

- **Cabo Verde** engaged non-governmental agents into a wider participatory process and submitted a number of urban profiles for online public consultation to foster innovation in the delivery of its NUP.
- **France** created citizen councils within the National Framework of City Contracts, guaranteeing a space in all steering bodies for citizen initiatives.
- **Germany** has used pilot projects such as the Hansaforum in Munster to test new content and creative methods for collaboration at different levels, with residents invited to take an active part in urban development at neighbourhood level. Germany also brings together 1 000 participants annually at the NUP congress to discuss current issues and civil society projects.
- **Poland** gathered 600 comments through consultations, including from city activists, individuals, experts, academics and chambers of commerce.
- **Serbia** invited students from faculties of architecture and geography to take part in co-creation workshops as representatives of youth.
- **Thailand** engaged representatives of communities and the general public from 77 provinces in the NUP formulation process through open meetings where they provided their recommendations.
- **Costa Rica** provided the entire population with free access to geospatial information, which in the long run will promote greater engagement of citizens in urban policy and meeting the objectives of their NUP.

Inclusion of vulnerable urban populations

Sixty-six countries provided information on the introduction of special measures during the NUP process for vulnerable urban populations, and 43 countries (65%) have introduced special measures to ensure that their NUP is sensitive to vulnerable urban populations (Figure 4.9) both at the process level (e.g. participation, consultation, engagement and evaluation) and in the NUP itself (e.g. guidelines to promote inclusion and participation in further urban programmes, objectives, funding, data). Particular

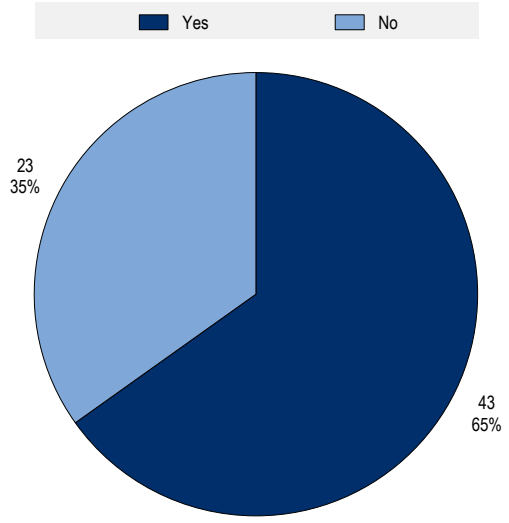
attention is paid to disabled people, the youth, the elderly and women, followed by slum dwellers and the urban poor. To a lesser degree, issues regarding children, minorities and migrants are included in NUP processes. Some countries also mentioned the homeless, unemployed, internally displaced persons (IDPs), LGBTI people (lesbians, gay men, bisexuals, transgender and intersex individuals) and people living in areas more susceptible to disaster risk. A recurring theme was 'social cohesion/inclusion', and 'improving access to affordable housing', 'upgrading informal settlements', 'human rights', 'urban mobility' and 'health services' were most frequently mentioned.

The most common way to include vulnerable groups is '*participation'*, for example online or in national fora or special events in **Bolivia**, in urban consultations in **Cuba**, in public hearings in **Kazakhstan**, or in youth/elderly focus group meetings in **Thailand**. This is followed by '*consultation* and *engagement'* in one or more phases of the NUP process, for example in the formulation and implementation stages in **Ethiopia** and in the monitoring and evaluation stage in **Sao Tome and Principe**. In **Mexico**, various participatory mechanisms were applied to generate inputs for the NUP, including a workshop for the incorporation of the gender perspective.

In **Nigeria**, vulnerable populations were highly involved in the formulation process, including for instance the internally displaced persons (IDPs), migrants, unemployed, slum dwellers, urban poor and youth. **Panama** is revising its 2019 NUP 'Política Nacional de Ordenamiento Territorial de Panamá' because of the original lack of citizen participation.

Figure 4.9. Special measures in NUP process for vulnerable urban populations, n = 66

Number and share of NUPs which include special measures in the NUP process to ensure NUP is sensitive to vulnerable urban populations



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Some countries combine measures related to vulnerable groups with other sectoral strategies. For example, in **Thailand**, the NUP contains development guidelines and indicators related to specific vulnerable groups which are linked to other national plans for early childhood development, the elderly and people with disabilities.

An alternative is a spatial or place-based approach targeting neighbourhoods characterised by vulnerable populations (e.g. informal settlements). This is often linked with the goal of reducing social and spatial inequities within or across urban areas.

- **Colombia's** 'Cities 4.0 Policy' aims to comprehensively improve informal neighbourhoods and proposes different solutions for cities depending on the living conditions.
- The key objective of **France's** NUP is social cohesion and solidarity towards disadvantaged suburban neighbourhoods and their inhabitants.
- **Germany's** 'Soziale Stadt' (Social City) programme focuses on disadvantaged areas on the basis that vulnerable groups predominantly live in these areas and they will benefit from the spatially targeted urban development grants.
- **Italy** uses a data-oriented target for poor neighbourhoods.
- **Malta** seeks to integrate social facilities for vulnerable groups to improve access to public transport, jobs and leisure space.

Increasing implementation capacity

Major implementation mechanisms

This section discusses key barriers, capacity and drivers for the implementation of NUPs. Four types of implementation mechanisms are commonly and evenly used according to the country survey, namely regulatory and legislative, institutional/collaborative partnerships, financial measures, and awareness raising and capacity building. Twenty-seven out of 48 responding countries (56%) with a NUP in the implementation stage or beyond use either "regulatory and legislative" or "financial" implementation mechanisms. "Awareness raising/capacity building" are each used in 26 out of 48 (54%) NUPs in the implementation stage or beyond, and "institutional/collaborative partnerships" are used by 25 out of 48 (52%) (Figure 4.10).

Regulatory and legislative measures are key instruments for NUP implementation, often used to align policies, both horizontally and vertically. In **Bulgaria,** the national Bulgarian Regional Development Act mandates sub-national governments' responsibility for the preparation of plans aligned with the country's NUP. **Chile** illustrated that its legislative frameworks, such as the Law on Land Market Transparency, the Law on Contribution to Public Space, and an upcoming Law on Social and Urban Integration, have directly supported the implementation of the NUP. In addition, "DOM online", a digital platform which allows municipal administrative procedures through the Internet, also supports the NUP implementation by improving social integration in cities, with the promotion of social housing, balanced densification and modernisation of ministerial management.

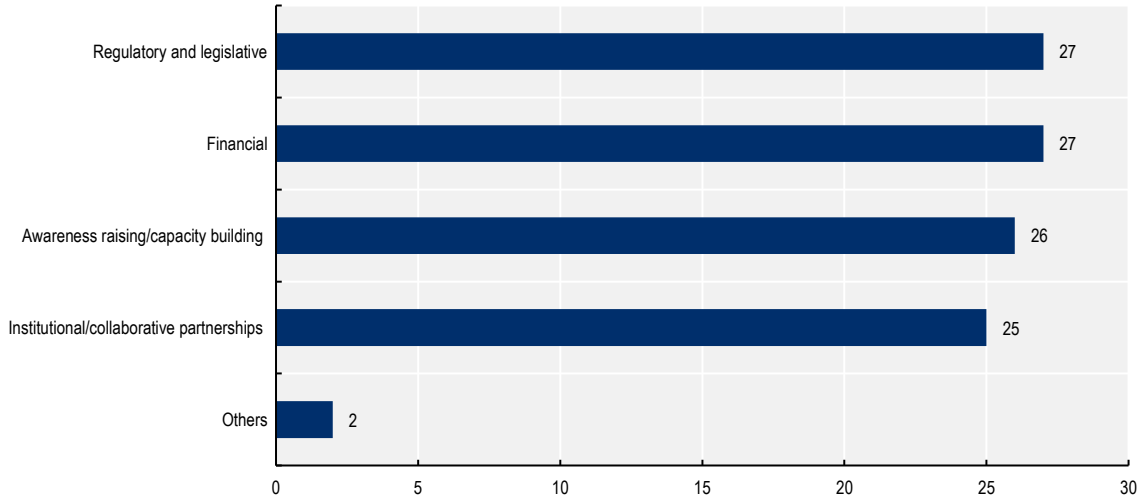
Financial measures included national budget lines, instruments and incentives, such as grant schemes in **Estonia** and the fiscal incentive of EUR 500 million per year in **France**. In several European countries, including **Bulgaria**, **Italy**, **Latvia** and **Portugal,** European Union funds and investments play a role. **Cuba** finances local development projects through a levy of 1% of local economic product.

As for institutional and collaborative partnerships, **Estonia**, **Senegal** and **Ukraine** have inter-ministerial bodies in charge of co-ordinating and monitoring NUP implementation. Other examples include the 'Pact with Neighbourhoods for All Businesses (PaQte)' in **France** as part of an integrated approach to promote economic activity and employment in neighbourhoods, the 'State-Commune Territorial Cooperation Agreements', whereby inter-municipal agents have been hired in **Luxembourg** and the 'Urban Partnership Initiative' in **Poland**.

Diverse measures for awareness raising and capacity building also exist, including through social media (**Philippines**, **Turkey**), guidelines for capacity development or policy training (**Czechia**, **Ethiopia**, **Peru**), training in higher education and universities (**Algeria**, **Ethiopia**), publicly accessible interdisciplinary knowledge (**Germany**), or online communication platforms such as 'Fórum das Cidades' in **Portugal**.

Figure 4.10. Types of implementation mechanisms for NUPs, n = 48

NUPs in the implementation stage or beyond (47 NUPs)



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Many countries, including **Austria, Canada, Colombia, Ethiopia, Italy** and **Madagascar,** reported that implementing their NUPs depends on sub-national governments to a large extent. The most frequently mentioned roles for sub-national entities are strategic, integrated and urban planning, and land use regulation and planning, followed by infrastructure development, provision of public services, environmental protection, public transport, co-ordination with other communities or municipalities, and housing. In **France**, NUP 'City Contracts' engage departmental, regional, inter-communal and municipal institutions and the civil society.

Implementation challenges for national governments

The NUP country survey examined challenges to NUP implementation faced by national governments (Figure 4.11). The most significant challenges to NUP implementation at the national level are 'insufficient human resources' (26 of 48 countries, or 54%), identified by countries such as **Colombia, Finland**, **Lebanon** and **Rwanda**, and "insufficient financing resources (26 of 48 countries, or 54%). For instance, rapid urbanisation and urban sprawl generate high financial and technical needs to manage emerging towns, as illustrated by **Tanzania**. In **Czechia**, the challenge may not necessarily be the lack of financial resources per se, but the lack of flexibility in funding allocation to support local needs for sustainable urban development. In **Chile**, a challenge is how to make sure that sectoral ministries, regional and local governments mobilise their own resource to achieve the ambitious goals of the national urban development policy (PNDU). The National Council of Urban Development (Box 4.1), through recommendations and a dedicated fund, plays an important role in influencing investment decisions of sectoral ministries. However, mobilising key ministries is still a challenge given the council's limited budget.

Twenty-three of 48 countries (48%) identified 'policy siloes and institutional fragmentation' as major bottlenecks, which is consistent with the expectation that NUP should ultimately contribute to 'improved policy co-ordination across sectors'. In **Austria,** each region has its own strategies and instruments for implementing a commonly adopted national policy, which raises co-ordination needs. **Ghana** reported having multiple stakeholders with policy planning, management and operational responsibilities and an institutional framework not adequately facilitating horizontal co-ordination for inter-sectoral policy formulation. **Nigeria** mentioned the absence of an integrated approach to urban planning and

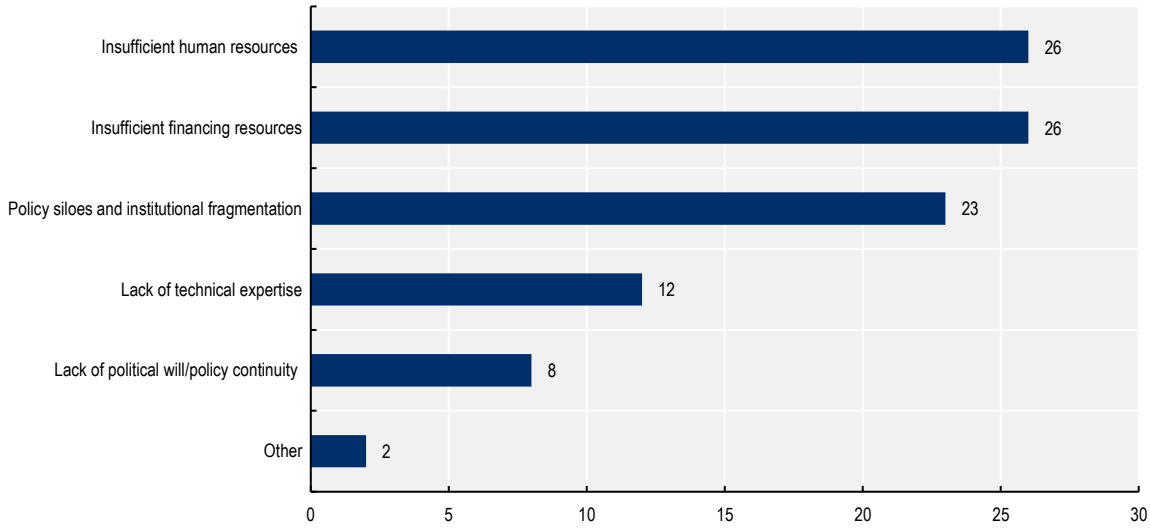
development, with a siloed approach to policy formulation and implementation. In **Portugal,** horizontal co-ordination is also challenged by the fact that national sectoral institutions and policies do not explicitly take into account territorial and urban impacts.

Specific challenges reported by countries in terms of horizontal co-ordination include:

- Discontinuous political cycles and changes in the administration (**Ecuador**, **Portugal**).
- A gap between political priorities and technical expertise on urban matters (**Ecuador**).
- An awareness gap among technical actors and policy makers at all levels (**Spain**).
- A lack of prioritisation of urban matters in the national agenda (**Finland**).
- The locked-in patterns of existing urban form (low densities) and infrastructure (lack of public transport) preventing the implementation of best practices for urban planning (**Israel**).
- A lack of targets and indicators to measure and follow up on implementation (**Norway**).
- Fragmentation of the responsibilities of various ministries with respect to cities, causing overlaps at regulatory level and delaying programmes which execute public investments (**Peru**).
- A lack of classification of urban areas preventing a more strategic and targeted intervention (**Portugal**).

Figure 4.11. Greatest challenges for NUP implementation at the national level, n = 48

NUPs in the implementation stage or beyond (48 NUPs)



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Implementation challenges for sub-national governments

The NUP country survey enquired about the challenges faced by sub-national governments as implementation partners of NUPs. Similar to the challenges at the national level, insufficient financial resources are the most significant challenge at local and regional level (26 countries of 48, or 54%), followed by insufficient human resources (22 countries, 46%). In contrast, the lack of technical expertise (19 countries, 40%) tends to be more important at the sub-national level, followed by lack of political will (11 countries, 23%), while the institutional challenges (i.e. overlapping/unfunded mandates, unclear responsibility, policy inconsistency) are less common at those scales (8, or 17%) (Figure 4.12). Countries

stressed that there is a large diversity of conditions and challenges between sub-national governments, with varying levels of capacity to raise revenues or train professional staff.

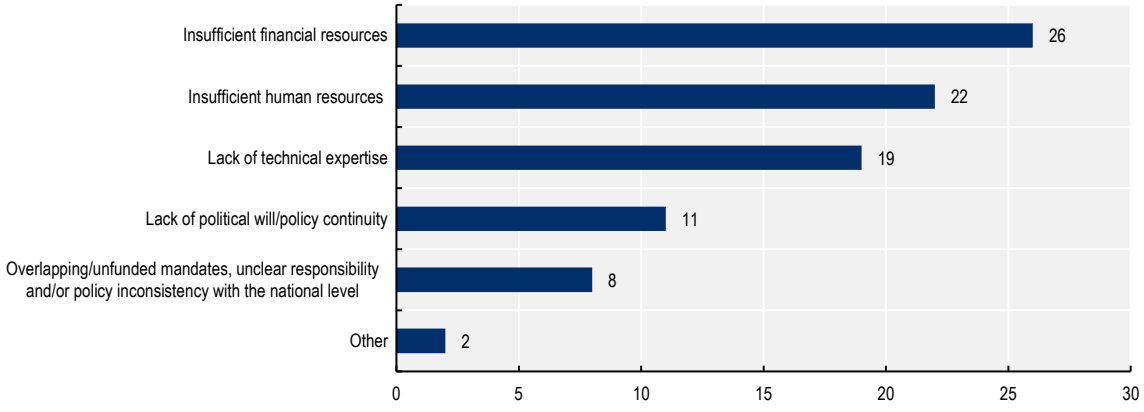
A number of countries highlighted challenges related to human and financial capacities at the sub-national level. For example, as a result of the tax system in **Israel**, local authorities prioritise the development of commercial land uses over residential units, leading to unbalanced development both at regional and urban scales. In **Kazakhstan,** despite the decentralisation of planning power enshrined in law in 2014, the 'functional decentralisation' differs from one local authority to another depending on its capacity. Sub-national governments in **Nigeria** play a key implementing role, despite insufficient financial allocation to urban planning and the lack of required skills and expertise restricting their capacity. **Portugal** is going through a comprehensive decentralisation of responsibilities from central to local governments in parallel with a progressive metropolitan governance political agenda, which calls for the strengthening of capacities and institutions responsible for urban planning, development and management at sub-national levels. Portugal's sovereign debt crisis and subsequent intervention had an impact on both local budgets and current expenses.

A lack of technical expertise at the sub-national level is common to many countries. In **Ethiopia,** there is a lack of skilled professionals to manage emerging urban issues; **Italy** has poor sub-national capacity to implement public infrastructure investment, resulting in delays; **Nigeria** faces gaps in relation to data collection, analysis and innovative technologies; **Portugal** often hires private consultants for policy processes and reports a sub-optimal engagement and knowledge transfer to improve public sector capacities.

Challenges related to the lack of political will and/or policy continuity are prominent in **Thailand** where newly elected mayors tend to change the policy direction of a city, as is the case in many countries. In **Turkey**, policy continuity is hindered by deficiencies in the technical, administrative and financial capacities of the municipal administrations.

Figure 4.12. Greatest challenges for NUP implementation at the sub-national level, n = 48

NUPs in the implementation stage or beyond (48 NUPs)



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

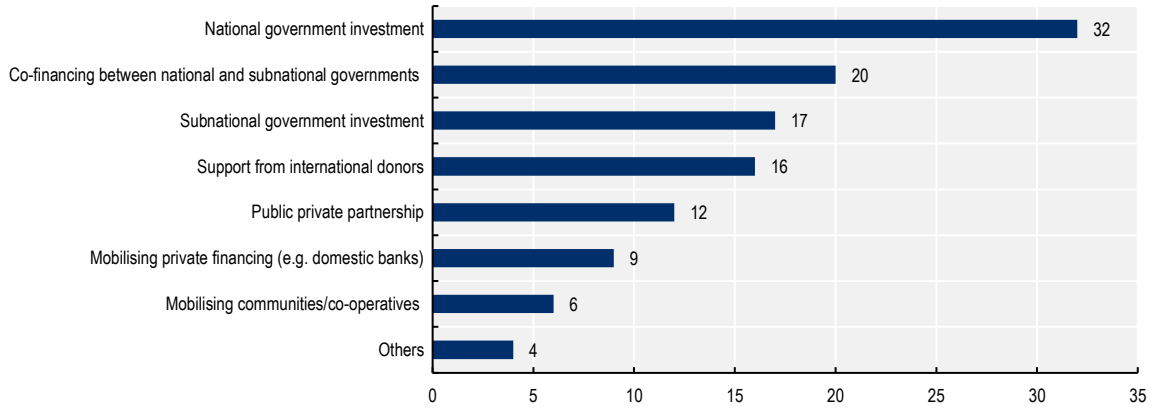
Financing NUP implementation

The NUP country survey shows that the principal source of financing for NUP implementation is national government investment (32 of 48 countries, or 67%), followed by co-financing between national and sub-national governments (20, or 42 %) and sub-national government investment (17, or 35%). International donor financing is also a common source of financing (16, or 33%). Public-private

partnerships (12, or 25%), private financing (9, or 19%) and the mobilisation of communities and co-operatives (6, or 13%) are less popular means of financing (Figure 4.13).

Figure 4.13. Sources of financing for NUP implementation, n = 48

NUPs in the implementation stage or beyond (48 NUPs)

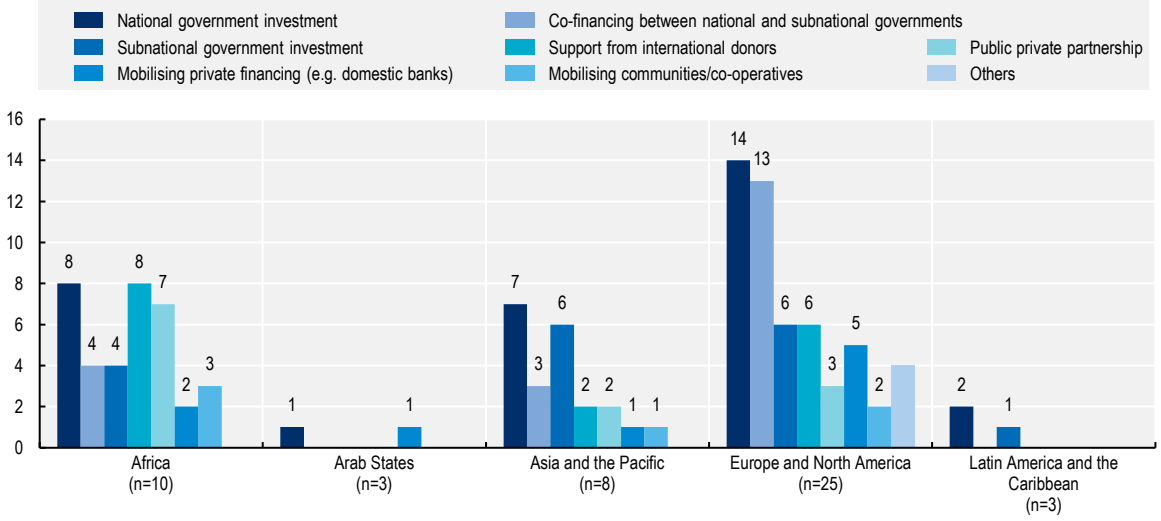


Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Looking at regional variation, national government investment and co-financing between national and sub-national governments are particularly common in Europe and North America, used by 14 countries (56%) and 13 countries (52%), respectively. In Africa, while national government investment is the most common source of financing (8 out of 10 countries, or 80%), international donor funding and public-private partnerships are also widely used (7 countries each, 70%) (Figure 4.14).

Figure 4.14. Sources of financing for NUP implementation, regional data, n = 48

NUPs in the implementation stage or beyond (48 NUPs)



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Some country specific examples of NUPs financing mechanisms include:

- In **Chile**, the main source of funding is the national government (from the Ministries of Housing and Urbanism; and of Public Works), including the National Regional Development Fund, dedicated to providing funding to regions for the implementation of urban policies.
- In **Colombia,** the diagnostic work on urban policy pointed to the opportunity and necessity of increasing local governments' own revenue sources, through such instruments as land-value capture and cadastre upgrading. The role of the national government consists of bringing technical assistance to help localities develop and implement such instruments.
- **Ethiopia**'s co-financing mechanism aims to support selected secondary cities based on their performance.
- In **France**, city contracts (*contrats de villes)*, which engage national and local stakeholders, entail pooling of financial resources to better support multi-level governance and ensure a successful co-ordinated NUP implementation.
- In **Germany**, urban development grants are co-financed; 1/3 each from national, state and municipal level, while the NUP is financed by national level.
- **Portugal**'s 'ClimAdaPT Local Project' is a NUP-relevant blended finance mechanism supported by the European Economic Area Financial Mechanism (EEA Grants), financed and managed by Iceland, Liechtenstein and Norway, in addition to support from the 'Fundo Português de Carbono'.
- Private funding is a major resource in **Algeria** in order to reduce the pressure on the state budget. This occurs on the one hand by developing diversified financing mechanisms (e.g., diversified and adapted banking products, savings, real estate management products from public property, etc.) and on the other hand, by strengthening the role of companies with a view to developing the mortgage market. This reflects that housing is a priority area of the Algerian Government, in particular the social issue of 'access for all to decent and affordable housing'.
- In **Peru**, the 'Works for Taxes' mechanism is an example of PPP, promoting the execution of priority public investment projects that have a regional and local impact. It allows private companies to finance and execute public investment projects, subsidised from their income tax, by signing a legal agreement with a public entity. The private company can gain compliance and receive a certificate issued by the Public Treasury, for the amount of the corresponding investment, which will be used to pay the income tax.

Measuring enabling environment for cities

Since NUPs are situated within a broader national institutional environment for urban management, other national enabling factors have an important influence on the capacity for sub-national governments to manage cities effectively. Twelve such factors were identified by the City Enabling Environment (CEE) Rating initiative, led by the Cities Alliance, United Cities and Local Governments Africa (UCLGA) and United Cities and Local Government Asia Pacific (UCLG-ASPAC) (Box 4.3).

The CEE initiative identified and monitored gaps in institutional frameworks that affect sub-national governments in Africa as well as in the Asia and the Pacific region, particularly in the implementation of the SDGs and the New Urban Agenda through three assessments of African countries (2012, 2015, 2018) and one in Asia and the Pacific in 2017. The results indicate that the enabling environment has improved in African countries overall, although still "unfavorable" in select countries. Moreover, "citizen participation", "transparency" and "financial transfers from central to local government" contribute the most in the improvement of the enabling environment. At the same time, "local government own revenue" and "urban strategy" received the lowest scores in the 12 factors. This suggests countries should increase the resources and their implication into the development of urban strategy, which play an important role in the population's satisfaction.

Box 4.3. City Enabling Environment (CEE) Rating initiative

The CEE Rating initiative investigated 12 factors through four regional assessments: i) constitutional framework; ii) legislative framework; iii) local democracy; iv) financial transfers from the central government to local government; v) own revenues; vi) capacity building of local government administrations; vii) transparency; viii) citizen participation; ix) local government performance; x) urban strategy; xi) gender equality; xii) climate change.

The initiative assigned a rating to the quality of provisions for each factor in each country, based on an in-depth qualitative assessment. It helps countries to draw lessons from each other, stimulate dialogue between ministers, mayors and development partners on the state of decentralisation and build consensus on institutional reforms to implement. The 'urban strategy' factor is most relevant to the context of NUPs, and the CEE has rated urban strategy by assessing if a "clear national urban strategy exists, along with the financial and technical arrangements and capacities necessary to implement it". Until today, three assessments of African countries (2012, 2015, 2018) and one assessment in Asia and the Pacific in 2017 have been conducted.

The 2018 Africa report demonstrated that, overall, the enabling environments have improved, with 35 of 53 countries increasing their rating score between 2012 and 2018 (UCLGA/Cities Alliance, 2018[2]). However, most African countries still had an enabling environment rated as either 'unfavourable' (13 countries) or 'requiring major reform' (21). Only four countries received the highest rating of 'favourable' and a further 12 'somewhat favourable'. Although the overall ratings increased, there were variations between regions: e.g. East African countries improved their average score by 45%, while central African countries only by 3%. The indicators which contributed most to the improvement of the enabling environment in Africa were 'citizen participation' and 'financial transfers from central to local governments'. The strong improvement of these categories is a positive reflection of the political will to support decentralisation. It is concerning however, that the second lowest improvement is in 'urban strategy', as it was three years after the adoption of the New Urban Agenda that recommended member states, including African countries, to adopt NUPs to meet the challenges of a primarily urbanising world.

In the 2018 Asia and the Pacific report, 13 out of 28 countries were assessed as 'very high performing' in terms of their enabling environments, 12 as 'high performing', 2 as 'moderately performing' and 1 as 'lesser performing'. The highest scoring criteria across all countries were 'transparency' and 'citizen participation', while the lowest scoring were 'local government own revenue' and 'urban strategy'. Again, the poor performance of urban strategy shows that many countries had urban strategies that were either poorly conceived or were not accompanied with appropriate resources to support implementation.

The findings of the CEE rating initiative point to many opportunities for governments at all levels to strengthen enabling environments for cities in African and Asia-Pacific countries. This assists countries to make the necessary improvements to meet the urban management-related targets of the SDGs and other global agendas. The next edition of the CEE Rating for African countries will be delivered in 2022.

Source: UCLGA/Cities Alliance (2018), *Assessing the Institutional Environment of Local Governments in Africa: 3rd Edition*, https://www.citiesalliance.org/resources/publications/cities-alliance-knowledge/assessing-institutional-environment-local-0; UCLG-ASPAC/Cities Alliance (2018), *City Enabling Environment Rating: Assessment of the Countries in Asia and the Pacific*, https://www.citiesalliance.org/resources/publications/cities-alliance-knowledge/city-enabling-environment-rating-assessment.

Ways forward

The chapter identified a number of factors for national governments to take into consideration to ensure the success of their NUPs. A key factor is aligning and co-ordinating NUPs with other sectoral policies, horizontally across ministries and vertically between different levels of government. To that effect, a vast majority of countries use formal mechanisms, such as use of legislation and regulatory mechanisms or informal voluntary arrangements. There are various methods to achieving policy alignment, and the best approach will depend on the local national and sub-national context and institutional structure. Regardless of how national governments approach policy alignment with NUPs, it is important that they first set out to do so.

National governments facilitate different levels of engagement with sub-national governments and stakeholder groups across the NUP process. A majority of countries do engage sub-national governments, either 'extensively' or 'moderately, throughout the NUP process. When formulating NUP, strong sub-national and stakeholder engagement is likely to lead to better policy prioritisation in the NUP, as well as having the flow-on benefit of sub-national governments taking greater effort to align their urban actions and agendas with the NUP. The levels of engagement of non-governmental stakeholders is lower than that of sub-national governments, which may reflect the related financial and resource constraints. However, there are significant benefits to increasing the engagement of civil society and community organisations in the diagnosis and formulation stages to ensure an inclusive NUP process through 'participation', 'consultation', 'engagement' and 'representation'. This, in turn, can lead to policy outcomes that clearly respond to the needs of vulnerable populations, such as the upgrading of informal settlements, affordable housing, urban mobility and improved health services. A key lesson is that an effective participatory approach will require the engagement of sub-national government and other stakeholder groups throughout the NUP process, not only at a single stage such as formation.

National governments resort to a wide range of mechanisms for NUP implementation, including a combination of regulatory and legislative instruments such as laws; partnerships and agreements between institutions; financial measures and incentives; awareness raising and capacity building. National governments face various implementation challenges; the most prevalent is insufficient financial resources. Horizontal co-ordination challenges are also common, caused by policy siloes and institutional fragmentation whereby national sectoral institutions fail to effectively define responsibilities and integrate their plans and actions. In most countries, NUP implementation is dependent on the role of sub-national governments. Sub-national governments are typically needed to enact the NUP through strategic urban and land-use planning, as well as local infrastructure, housing, environmental protection actions and public services. But in most cases, sub-national levels lack the human resources and technical expertise for such an implementation.

These findings indicate two recommendations going forward:

- **Engage local and regional authorities, and stakeholder groups** in the design, implementation and monitoring of NUP, involving all segments of society to address the needs of the most vulnerable, such as women, the elderly, youth, the disabled, migrants and minorities.
- **Consider varied sources of finance to support the implementation of NUP**, including national-subnational co-financing arrangements, public-private partnerships, private financing and initiatives led by communities or co-operatives. Governments can consider options to address the financial resources challenge during implementation of NUPs. While the most common sources of financing are national government investment, co-financing arrangements with sub-national governments are increasingly being used. Non-governmental sources of financing are also commonly available and can reduce pressures on state budgets. Many countries benefit from international donor funding, including EU instruments, the World Bank and United Nations funding

and technical assistance. Other sources with strong potential include public-private partnerships, private financing and the mobilisation of communities or co-operatives.

References

Global Taskforce of Local and Regional Governments and United Cities and Local Government (2020), *Global Taskforce-UCLG 2020 survey on the localisation of the SDGs and the 2030 Agenda*. [4]

OECD/UN-Habitat/Cities Alliance (2020), *National Urban Policy Country Survey 2020*. [1]

UCLGA/Cities Alliance (2018), *Assessing the Institutional Environment of Local Governments in Africa: 3rd Edition*, https://www.citiesalliance.org/resources/publications/cities-alliance-knowledge/assessing-institutional-environment-local-0. [2]

UCLG-ASPAC/Cities Alliance (2018), *City Enabling Environment Rating: Assessment of the Countries in Asia and the Pacific*, https://www.citiesalliance.org/resources/publications/cities-alliance-knowledge/city-enabling-environment-rating-assessment. [3]

5 Data, monitoring and evaluation of NUP

This chapter explores how countries collect data and use monitoring and evaluation to improve the national urban policy (NUP) process. It examines data sources used in the NUP process, types of NUP monitoring and evaluation frameworks, as well as how the results are used. The chapter also discusses effective design of NUP monitoring and evaluation frameworks, including aligning NUP targets and indicators with the Sustainable Development Goals and other global indicators. Finally, the chapter presents selected internatioanl initiatives to address demand for urban-scale data and develop a more robust and internationally comparable framework.

Key findings

- Countries primarily use data obtained or produced at national level by the statistical office (66 out of 86 countries, or 77%), by relevant ministries or agencies (54 countries, 63%) or by the lead NUP ministry or agency (53 countries, 62%). A majority (48 countries, 58%) use data from research institutes, signalling an important synergy between policymakers and academia.
- Bottom-up processes for data collection could be improved, with only 34 countries (40%) using data from sub-national governments and 29 countries (34%) from the private sector.
- Countries use diverse frameworks to monitor and evaluate their NUP. Policy dialogues and workshops are the most common mechanism (40 countries, 59%), followed by progress reports (33 countries, 48%) and specific targets and indicators (26 countries, 38%).
- NUP monitoring and evaluation can help countries revisit their NUP (38 countries, 56%), improve multi-level co-ordination (32 countries, 47%) and allocate budget and invest in support of NUP implementation (27 countries, 40%). 21 countries (31%) indicate that NUP monitoring and evaluation are part of their SDG monitoring and evaluation frameworks.
- To address demand for urban-scale data, international organisations are developing a more robust and internationally comparable framework to measure the degree of urbanisation, also relevant to NUP monitoring and evaluation.

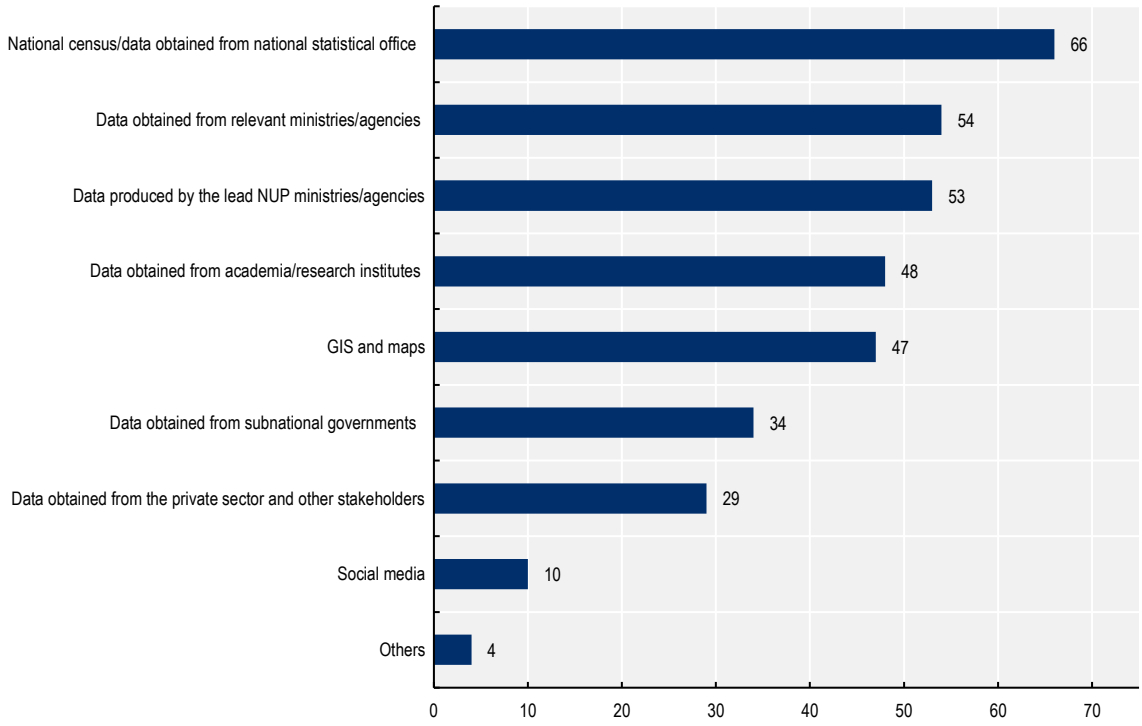
Data in the NUP process

Data is essential to drive evidence-based policy making, and the national urban policy (NUP) process is no exception. This chapter investigates how countries use data, and which types of data, in the NUP process (Figure 5.1). Unsurprisingly, most data are obtained from the national government: 66 countries (77%) report using national census data or data produced by the national statistical office, 54 (63%) use data obtained from relevant ministries and agencies, 53 (62%) use data produced by the lead NUP ministries and agencies.

Forty-eight countries (56%) use data from academia and research centres, highlighting an important area of synergy between policymakers and academic experts. Additionally, geographic information systems (GIS) and maps are used in 47 countries (55%), reflecting the importance of understanding context-specific factors that facilitate place-based policy making.

Bottom-up processes involving the collection of data from either sub-national governments or from the private sector and other stakeholders (e.g. market surveys, community-led data) are addressed respectively by 34 (40%) and 29 (34%) countries. While direct use of bottom-up data could be scaled up in NUP processes in general, some countries do have sophisticated national-level data collection systems that incorporate data from bottom-up processes. These report the data as issuing from the national statistical office, which may explain the relatively low share of data use from sub-national governments and private sector/other stakeholders. In either case, lead NUP ministries should engage in regular dialogue with local governments to ensure the latest data and information is reflected, especially when formulating/revising NUP processes. Data from social media is used by only 10 countries (12%), which could reflect the fact that such data may not always be relevant or that there may be privacy and credibility concerns surrounding its use.

Figure 5.1. Data sources used in the NUP process, n = 86



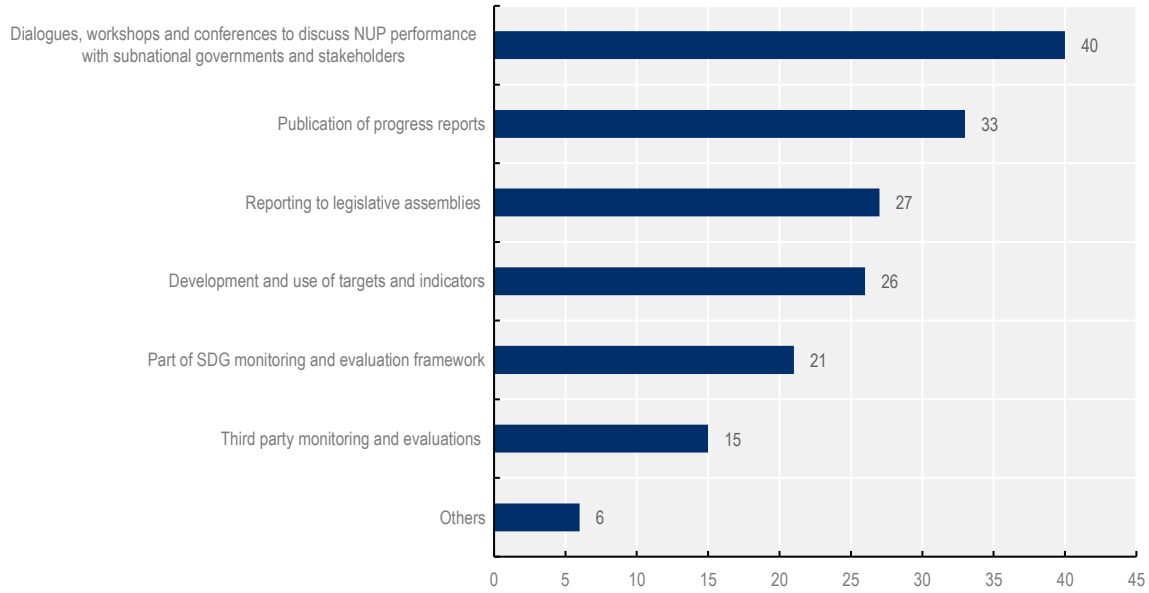
Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Types of monitoring and evaluation frameworks

Countries use varied frameworks to monitor and evaluate their NUP (Figure 5.2). Most frequent were "dialogues, workshops and conferences to discuss NUP performance with sub-national governments and stakeholders", reported by 40 (59%) of the 68 countries with NUP in or beyond the formulation stage. This was followed by "publication of progress reports" (33 countries, 48%), "reporting to legislative assemblies" (27 countries, 40%) and "development and use of targets and indicators" (26 countries, 38%). Over a quarter of countries (21 countries, 31%) indicate that NUP monitoring and evaluation frameworks are part of their Sustainable Development Goal (SDG) monitoring and evaluation frameworks (e.g. voluntary national review), while only 15 countries (22%) use third-party monitoring and evaluation (e.g. from a court of audit or academic review). Given the expected role of NUP in achieving the 2030 Agenda for Sustainable Development and the New Urban Agenda (Chapter 6), countries could make more effort to align NUP monitoring and evaluation frameworks with global agendas.

- In **France**, the National Observatory on Urban Policy monitors and assesses inequalities and development gaps in priority neighbourhoods. The observatory also contributes to the evaluation of policies in the priority neighbourhoods. It prepares an annual report for parliament and government. The 2018 report focused on local employment and economic development.
- In **Turkey**, the national government uses biannual municipal surveys containing selected indicators to measure progress on NUP at the local level. The government produces biannual activity reports to measure progress at the national level. These are submitted to the Monitoring and Steering Committee. and published online for the public.

Figure 5.2. Types of NUP monitoring and evaluation frameworks, n = 68



Note: Note: data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. The survey question aimed at NUPs in the "formulation stage" or beyond (i.e. not in "diagnosis" or "feasibility" stages), hence the results cover 68 countries instead of 86.

Designing NUP monitoring and evaluation to serve broader purposes

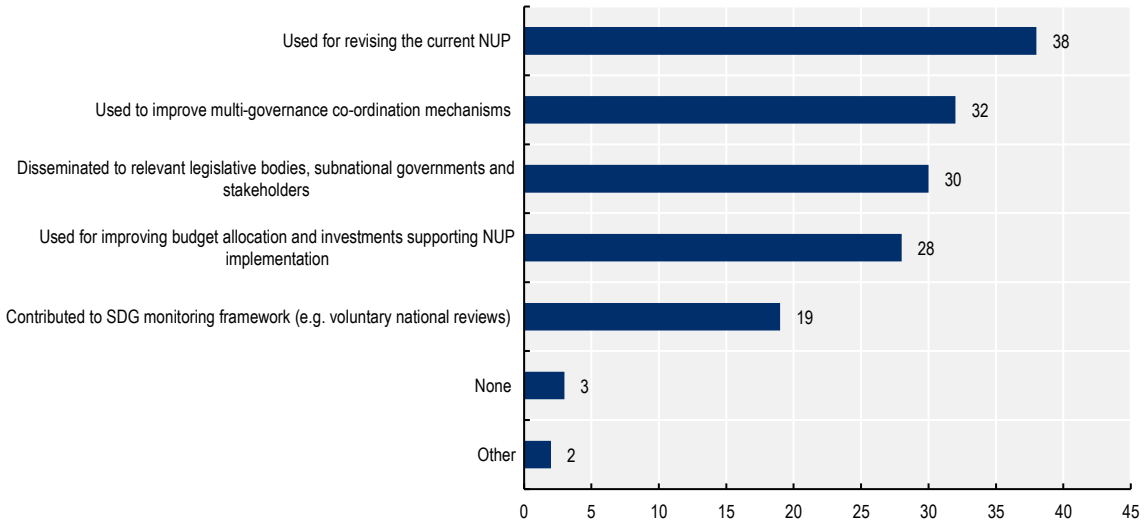
Successful formulation, implementation and review of NUP depends on the quality and credibility of the monitoring and evaluation systems in place. The NUP country survey examined how countries use or intend to use the results of monitoring and evaluation of their NUP (Figure 5.3). Many countries employ the results of monitoring and evaluation to revise their current NUP (38 NUPs, 56%) or to improve multi-governance co-ordination (32 countries, 47%). Thirty countries (44%) disseminate the results to relevant legislative bodies, sub-national governments and stakeholders, while 27 countries (40%) use the results to improve budget allocation and investments supporting NUP implementation.

The results illustrate potential to use NUP monitoring and evaluation for wider purposes, including multi-level dialogues, awareness raising, budget allocation and investment decisions. In addition, although only 19 countries (28%) use the results of monitoring and evaluation to contribute to SDG monitoring frameworks, such as voluntary national reviews, aligning NUP monitoring and evaluation frameworks with SDGs and other domestic policy frameworks would be key for effectiveness (Chapter 6).

Developing a more robust urban monitoring framework

As discussed, more than a third of countries surveyed (26 out of 68, or 38%) use a goals, targets and corresponding indicators within their NUP monitoring and evaluation frameworks (Figure 5.2). However, data and evidence at the urban scale is not always available, which makes quantitative assessment of NUP impacts difficult. The NUP country survey shows few countries reporting that their NUPs are grounded in "robust urban-scale data" (Chapter 3). The lack of urban-scale data is also highlighted in monitoring the SDGs, for which several indicators should be collected from cities or urban areas. To address demand for urban-scale data, international organisations are developing a more robust and internationally comparable framework to measure the degree of urbanisation, also relevant to NUP monitoring and evaluation.

Figure 5.3. Intended use of monitoring and evaluation of NUPs, n = 68



Note: Note: data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. The survey question aimed at NUPs in the "formulation stage" or beyond (i.e. not in "diagnosis" or "feasibility" stages), hence the results cover 68 countries instead of 86.

Applying a harmonised definition of cities, rural and urban areas

Monitoring global agendas requires internationally harmonised indicators for cities, urban and rural areas. For example, the Global Monitoring Framework of the SDGs includes several indicators that should be collected for cities or rural and urban areas. However, in the absence of an international harmonised framework, indicators rely on national definitions that vary and thus limit international comparability (United Nations Statistical Commission, 2020[1]).

Since 2016, six international organisations, namely the European Commission (EC), the Food and Agriculture Organization of the United Nations (FAO), the International Labour Organization (ILO), the OECD, UN-Habitat and the World Bank, work together to develop a new method to delineate cities, metropolitan, urban and rural areas for international statistical comparison. In March 2020, the United Nations Statistical Commission endorsed the new method, called the Degree of Urbanisation. The Degree of Urbanisation classifies the territory of a country into three groups along the urban-rural continuum: (1) cities, (2) towns and semi-dense areas, and (3) rural areas (Box 5.1). Applying the method will provide a new perspective on the urban system of a country and allow comparisons of urban data across countries.

Box 5.1. A new definition of the degree of urbanisation

In March 2020, the 51st session of the United Nations Statistical Commission endorsed a new method to delineate cities, urban and rural areas, called the Degree of Urbanisation. It includes two concepts for defining cities and their surroundings: the Degree of Urbanisation and the Functional Urban Area.

The **Degree of Urbanisation** classifies the territory of a country into three groups – (1) cities, (2) towns and semi-dense areas, and (3) rural areas – based on population density, population size and contiguity using 1 km² grid cells. To delineate cities, first an urban centre (or a high-density cluster) is identified. An urban centre consists of contiguous grid cells with a density of at least 1,500 inhabitants per km² and with a population of at least 50,000. Local units (e.g. municipalities) classified as cities have at least 50% of their population in urban centres.

Applying the Degree of Urbanisation reveals that, as of 2015, almost half the world's population (48%) live in cities, a quarter (24%) in rural areas, and the remainder (28%) in towns and semi-dense areas. The population living in cities is projected to reach 55% in 2050. The newly defined category "towns and semi-dense areas" avoids the urban-rural dichotomy and captures the urban-rural continuum.

The new method also delineates **functional urban areas (FUA)**, or **metropolitan areas**, by identifying commuting zones around each city. This makes it possible to gauge cities beyond their administrative boundaries in a comparable way across countries and assess their performance according to a set of economic, social, environmental and institutional indicators. While the OECD in collaboration with the European Commission introduced the concept of FUA in 2010 and applied it to OECD countries, the new method extends it on a global scale.

The Degree of Urbanisation complements rather than replaces definitions used by national statistical institutes and ministries. It is expected to help examine and monitor SDGs and other urban policy agendas globally through internationally comparable data and statistics.

Source: OECD/European Commission (2020), *Cities in the World: A New Perspective on Urbanisation*, https://dx.doi.org/10.1787/d0efcbda-en; United Nations Statistical Commission (2020), *A recommendation on the method to delineate cities, urban and rural areas for international statistical comparisons*,https://unstats.un.org/unsd/statcom/51st-session/documents/BG-Item3j-Recommendation-E.pdf.

Selecting appropriate geographical scale for measuring policy impacts

Measuring policy impacts at the urban level requires selecting the appropriate scale of analysis. Depending on the phenomenon under consideration, monitoring indicators at some geographical scales can be more appropriate than others, encouraging different levels of granularity. While sub-national authorities measure outcomes within the boundaries of their jurisdictions, it is often important from the NUP perspective to consider the economic dynamic of contiguous local authorities that function as an integrated urban area. Applying the concept of FUAs allows consideration of commuting flows, and thus reflects the full extent of labour markets and other functional linkages (Box 5.1). The OECD Principles of Urban Policy, launched in 2019, also highlight the importance of applying the appropriate scale in designing and implementing urban policy (Box 5.2).

Box 5.2. OECD Principles on Urban Policy

Building on 20 years of urban policy work, the **OECD Principles on Urban Policy**, adopted by all OECD countries in March 2019, offer a framework to guide national and sub-national policymakers in building smart, sustainable and inclusive cities in responsibility shared between the public, private and non-profit sectors. The 11 principles are organised around the "3S" framework of scale, strategy and stakeholders:

- Adapt to the **scale** where people live and work in real life, beyond administrative perimeters drawn on a map.
- Align all policy sectors that play a key role in cities – from economic development and education to housing, transport and land use – into a coherent **strategy**.
- Engage **stakeholders** from all segments of society to put people at the centre of urban policy.

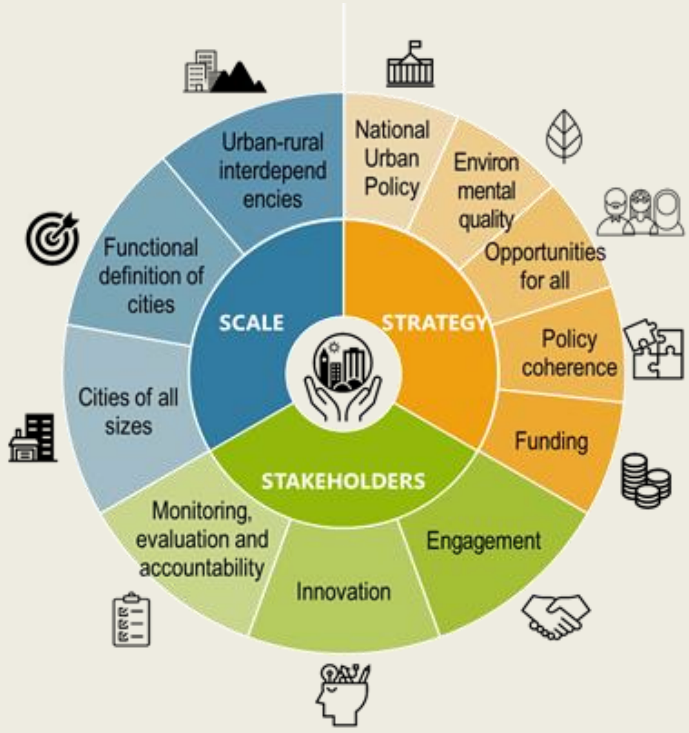
Under 'scale', three principles present the importance of targeting effective ambits for policy action:

- Maximise the potential of cities of all sizes to advance national and global prosperity and well-being over time.
- Adapt policy action to the place where people live and work.
- Support interdependencies and co-operation between urban and rural areas.

The Principles were developed with diverse stakeholders, including international organisations (e.g. UN-Habitat, UNEP), development banks (e.g. World Bank, Inter-American Development Bank), networks of cities and local governments (e.g. United Cities and Local Governments, ICLEI), research institutes and academia (e.g. Lincoln Institute of Land Policy), and the private sector.

The OECD is developing an implementation toolkit including an urban repository and an assessment framework.

Figure 5.4. OECD Principles on Urban Policy



Source: OECD (2019), *OECD Principles on Urban Policy*, http://www.oecd.org/cfe/Brochure-OECD-Principles-Urban-Policy.pdf.

Defining localised yet comparable indicator frameworks

To go beyond national averages and shed light on territorial disparities, many regions and cities define place-specific NUP indicators. Still missing, however, is a consensual, comparable and standardised framework to measure performance across regions and cities from an international comparative perspective. To that end, the OECD's localised SDGs indicator framework presents a useful approach. It bridges this gap with consistent definitions and comparable indicators across regions and cities of OECD and selected partner countries (Box 5.3 and Chapter 6).

Box 5.3. Measuring cities' and regions' progress towards the SDGs

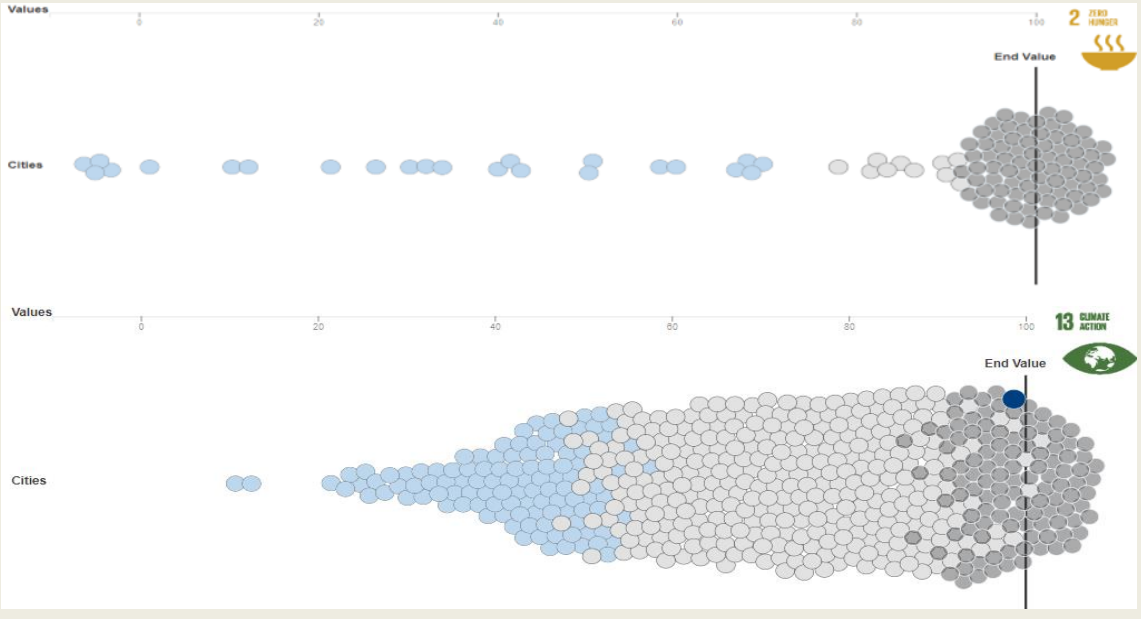
The OECD developed a framework to localise SDG targets and indicators and measure the progress of regions and cities towards each of the 17 SDGs. This consensual, comparable and standardised framework benchmarks performance within countries, and across regions and cities to support public action across levels of government.

In the context of OECD countries, at least 105 of the 169 underlying SDG targets were identified as relevant for regions and cities. Indicators were then selected based on their applicability to the context and specificities of OECD countries. The result is 105 SDG targets and 135 indicators for OECD regions and cities (also referred as the Sub-national SDG Targets).

With its 135 indicators, the **OECD's localised SDG indicator framework** allows 601 regions and 649 cities (above 250 000 inhabitants) in OECD and partner countries to measure progress on the SDGs. A web-based visualisation tool (www.oecd-local-sdgs.org) fosters peer learning and policy dialogues across similar regions and cities. The framework also defines target "End Values" for 2030 (derived from either the United Nations framework, based on expert assessments, or the best-performing cities and regions per OECD country), which allow regions and cities to assess where they stand and how much distance remains.

Analysis of the 649 cities shows that cities are performing relatively well regarding SDG 2 (food security and agriculture), as 78 out of 111 cities (30%) with available data already reached the end value for 2030. In contrast, SDG 13 (climate action) appears as the most challenging goal: only 11 out of 543 cities (2%) reached the end value (Figure 5.5). Localised indicators show that OECD cities' path towards the SDGs remains challenging, with 70% of cities or more not yet at end values for 2030 in 15 of the 17 SDGs.

Figure 5.5. Performance of cities in OECD countries on SDG 2 and SDG 13



Source: OECD (2020[2]), *Measuring the Distance to the SDGs in Regions and Cities*, https://www.oecd-local-sdgs.org/index.html.

Ways forward

The analysis in this chapter indicates that countries primarily use national-level data for their NUP process (77%) alongside other valuable sources, including academia and research centres (58%), sub-national governments (40%) and the private sector or other stakeholders (34%). There is room for ministries engaged in NUP to diversify their data sources, in particular from local governments, to ensure NUP processes reflect the latest data and information.

The chapter reveals that countries should consider scaling up the use of targets and indicators for more robust monitoring and evaluation of NUP. Whereas countries monitor and evaluate NUP performance primarily through policy dialogues, workshops and conferences (40 countries, 59%), a relatively low share (26 countries, 38%) report developing and using targets and indicators for NUP monitoring and evaluation. Recent initiatives by international organisations to develop a more robust and internationally comparable framework, for instance to measure the degree of urbanisation, are relevant and applicable to NUP monitoring and evaluation.

Finally, this chapter highlighted that, beyond revising NUPs, countries use the results of NUP monitoring and evaluation to improve co-ordination between ministries and across levels of government (32 countries, 47%). This illustrates the role of NUP in co-ordination within a country and confirms that NUP should not be seen as an end in itself, but as a means to improve governance for sustainable urban development.

Going forward, countries should continue to **invest in robust urban-scale data to design NUPs** that address place-based concerns, foster monitoring and evaluation, and facilitate evidence-based stakeholder dialogue, accountability and integrity throughout the NUP process.

References

OECD (2020), *A Territorial Approach to the Sustainable Development Goals: Synthesis report*, OECD Urban Policy Reviews, OECD Publishing, Paris, https://dx.doi.org/10.1787/e86fa715-en. [6]

OECD (2020), *Measuring the Distance to the SDGs in Regions and Cities*, OECD, Paris, https://www.oecd-local-sdgs.org/index.html. [2]

OECD (2019), *OECD Principles on Urban Policy*, OECD Centre for Entrepreneurship, SMEs, Regions and Cities, Paris, http://www.oecd.org/cfe/Brochure-OECD-Principles-Urban-Policy.pdf. [5]

OECD/European Commission (2020), *Cities in the World: A New Perspective on Urbanisation*, OECD Urban Studies, OECD Publishing, Paris, https://dx.doi.org/10.1787/d0efcbda-en. [4]

OECD/UN-Habitat/Cities Alliance (2020), *National Urban Policy Country Survey 2020*. [3]

United Nations Statistical Commission (2020), "A recommendation on the method to delineate cities, urban and rural areas for international statistical comparisons, background document for the 51st session, prepared by the European Commission, ILO, FAO, OECD, UN-Habitat and World Bank", https://unstats.un.org/unsd/statcom/51st-session/documents/BG-Item3j-Recommendation-E.pdf. [1]

6 Advancing the Sustainable Development Goals and global agendas through NUP

This chapter presents a new analysis of the links between national urban policy (NUP) and the global urban-related agendas. It analyses how countries recognise NUP's potential to advance the 2030 Agenda for Sustainable Development (SDGs), the New Urban Agenda (NUA), the Paris Agreement and the Sendai Framework for Disaster Risk Reduction. Since a country's NUP is now officially a part of the SDGs indicator framework (SDG 11.a.1), the chapter also measures how NUPs fulfil the criteria. NUP's potenital to advance the SDGs is measured not only for Goal 11 but other goals. Finally, the chapter discusses how to align and co-ordinate between NUP and SDGs implementation from the perspectives of institutions and monitoring frameworks.

Key findings

- National urban policy (NUP) is largely considered as an important vehicle to implement global urban agendas, in particular the SDGs (58 out of 86 countries, 67%) and the New Urban Agenda (52 countries, 60%), as well as regional agendas such as Urban Agenda for the European Union, the New Leipzig Charter and the Africa Agenda 2063. Countries also clearly indicated that NUPs can help achieve the Paris Agreement and the Sendai Framework, reflecting the significant potential of cities to mitigate and adapt to climate change and to reduce disaster risks.
- Besides SDG 11 on cities and communities, NUPs contribute most extensively to SDG 6 on clean water and sanitation (30 NUPs), SDG 9 on industry, infrastructure and innovation (29 NUPs), SDG 13 on climate action (28 NUPs) and SDG 8 on decent work and economic growth (24 NUPs).
- The fact that a country's NUP is now officially a part of the SDGs indicator framework (SDG 11.a.1) will accelerate the development of NUPs in the coming years. Currently, 23 countries (40%) have NUPs which fulfil all the three 'qualifiers' of SDG 11.a.1, 31 countries (53%) reported to meet two qualifiers, and 4 countries (7%) meet one qualifier. Overall, 30 countries have reported that either their NUPs or RDPs meet all the three qualifiers, thus fulfilling the SDG 11.a.
- Among the three qualifiers, 54 NUPs (95%) were reported to fulfil the qualifier "balanced territorial development", while the qualifier "respond to population dynamics" was reported to have been "fulfilled" by 53 NUPs (93%). The third qualifier, "increase local fiscal space" was fulfilled only by 26 NUPs (46%), implying room for improvement.
- Whereas in over half of the countries (53%) the NUP process is conducted by the same ministry or agency that is responsible for the implementation of SDG 11, in 20% of countries such implementation is undertaken by other ministries and government agencies, which presents a co-ordination challenge.

The role of NUP in advancing and localising global agendas

Urbanisation has long been recognised as a global priority challenge, especially within global agendas developed over the past decade, including the 2030 Agenda for Sustainable Development (SDGs); the New Urban Agenda (NUA); the Paris Agreement; and the Sendai Framework for Disaster Risk Reduction. This chapter discusses the link between NUPs and such global agendas, in particular the role of NUPs in advancing their implementation in a shared responsibility approach across ministries, agencies and levels of government. The chapter gives special attention to SDG 11.a.1, as related data provides a baseline to measure subsequent progress of NUPs in light of international agreements.

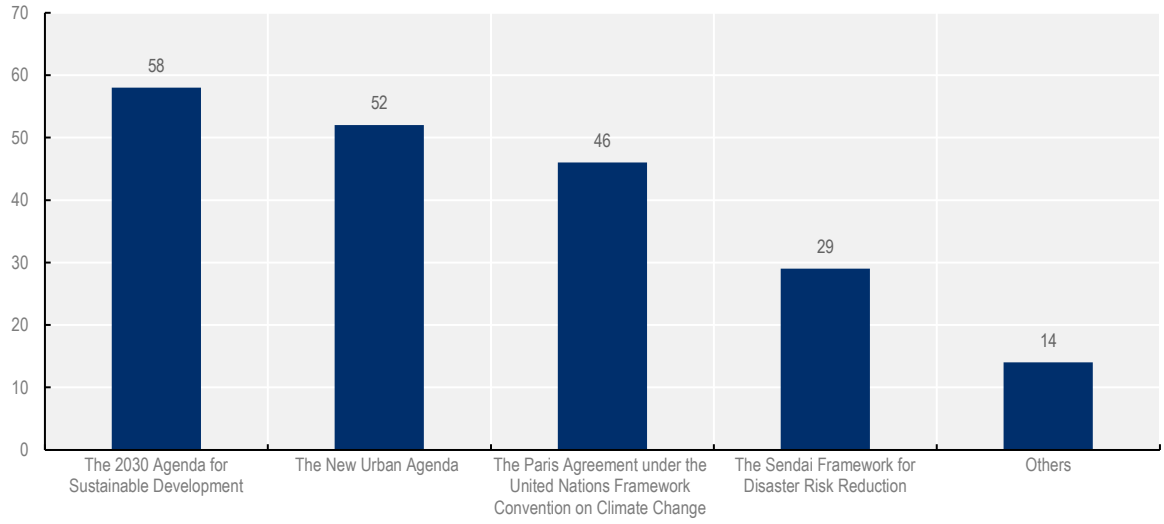
NUP and global agendas

Many countries recognise that NUP helps achieve global agendas with a strong urban focus. This is consistent with the rapid urbanisation in many countries, and international frameworks increasingly emphasising sustainable urban development. The top two global commitments to which NUPs are reported to contribute are the SDGs (58 out of 86 countries, 67%) and the NUA (52 countries, 60%) (Figure 6.1). Sixty percent of responding countries indicated their NUPs helped to implement both the SDGs and the NUA, as compared to only 11% that indicated their NUP helped implement either of the two international agendas. Indeed, implementing the NUA is expected to accelerate the implementation of the SDGs and SDG 11 in particular, as the NUA details implementation of the urban dimension of the SDGs. The NUA also stresses that its follow up and review must have effective linkages with the SDGs to ensure

co-ordination and coherence in their implementation (United Nations, 2016[1]). In **Cuba**, NUP is specifically designed to implement the NUA and is also aligned with SDGs (Box 6.1).

Annex 6.A provides detailed information per country in terms of national governments' commitment to these agenda as a means to address local urbanisation through co-ordinated actions at local, national and global levels. Surveyed countries also recognise urban policies' strong potential to advance the goals set in these global agendas, such as ending poverty, protecting the environment, improving partnerships, and enhancing sustainable production and consumption.

Figure 6.1. NUP contributions to achieving global agendas that the NUPs help achieve, n = 86



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Box 6.1. Aligning NUPs, the SDGs and NUA: The example of Cuba

The national urban policy of Cuba, the National Action Plan Cuba 2017-2036, is for the implementation of the NUA in Cuba and is also aligned with the SDGs. The action plan is a tool to implement the NUA by orienting cities and human settlements in the country to the ideals of the NUA. It translates NUA principles into a strategic plan of results and priority actions for Cuba to achieve positive impact for Cubans. Beside implementing the NUA, the action plan constitutes a long-term plan to improve urban and territorial development.

The action plan's strategic framework is adapted to the priorities of provinces and municipalities. It also proposes the development of compact urban structures, where the internal potential of cities is maximised, vulnerabilities are reduced and extreme weather events are prepared for. It also contributes to the strengthening of capacities and the formulation of instruments to implement the NUA. The plan includes resources to implement environmental measures and actions to reduce vulnerability and adapt to climate change, including areas of extreme flood danger, coastal edges and regulations to reduce vulnerability in high-risk areas.

The action plan was prepared by the national and local authorities with the technical assistance of UN-Habitat. The National Action Plan Cuba 2017-2036 received the Scroll of Honour from UN-Habitat in 2018 for its outstanding contributions to the development of human settlements and implementation of the NUA.

Source: OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

More than half of the countries (46 countries, 53%) reported that NUP contributed to advancing the national level commitments made under the Paris Agreement (Figure 6.1). NUP is aligned with the provisions and priorities of the Paris Agreement in a range of countries, including **Algeria**, **Armenia, Austria, Burkina Faso, Canada**, **Colombia**, **Ethiopia**, **Iran**, **Jordan** and **Mexico**, with special emphasis on efforts to combat climate change in urban areas. This reflects the significant potential of cities to mitigate and adapt to climate change through increasingly visible and ambitious urban climate action measures. Indeed, the importance of engagement of all levels of government to effectively implement climate action is clearly recognised in the Paris Agreement (Box 6.2).

Moreover, 29 countries (34%) also recognise the potential role that their NUPs can play to advance the Sendai Framework for Disaster Risk Reduction by addressing urban vulnerability to disasters, including climate change-related events (Figure 6.1). Other global agendas include the Addis Ababa Action Agenda (AAAA), which echoes the need to support local governments in their efforts to mobilise revenues to enhance inclusive sustainable urbanisation.

Box 6.2. Recognition of local actions in global agendas

Agenda 2030 for Sustainable Development

In the means to implement Agenda 2030, a specific call is made for public institutions to "work closely on implementation with regional and local authorities, sub-regional institutions, international institutions, academia, philanthropic organizations, volunteer groups" (United Nations, 2015[2]). Agenda 2030 also underscores the key role of local authorities in scaling up action, effecting change and securing sustainable human settlements (United Nations, 2015[2]). While the SDGs were not explicitly designed by or for local and regional governments – with the exception of SDG 11, dedicated to sustainable cities and communities – they provide a universal ambition and valuable framework for all levels of government to align global, national and sub-national priorities within policies striving to leave no one behind. This is particularly relevant as national averages often misrepresent realities in regions and cities, and they tend to mask large territorial disparities, compromising the SDGs' premise of leaving no one behind. OECD economic and well-being indicators at the sub-national level confirm that national averages mask important within-country disparities. For example, while "fine particulate matter 2.5" seems to have been achieved in Australia at the country level in 2017 (value lower than 10 micrograms per cubic metre), four cities of Australia appear to be lagging behind in this indicator – the worst- city being 5 micrograms per cubic metre above the suggested levels (OECD, 2020[3]). Moreover, implementing Agenda 2030 requires cities' and regions' action in most SDGs given their policy prerogative, role in public investment and closer connection to citizens.

Paris Agreement

The Paris Agreement acknowledges that climate change is a common concern of humankind, and that local communities – among other groups such as indigenous peoples, migrants and children – must be properly engaged when taking action to address climate change (UNFCCC, 2015[4]). The Paris Agreement specifically recognises the importance of engagement of all levels of government to effectively implement climate action (Preamble §15), specifically highlighting their role with regard to adaptation, loss and damage and capacity building (Articles 7.2, 7.5, 8.4, 11.2).

Sendai Framework for Disaster Risk Reduction 2015-2030

The Sendai Framework underscores the importance of local action in great depth, beginning with its emphasis that "international, regional, sub-regional and transboundary co-operation is pivotal in supporting the efforts of states, their national and local authorities, as well as communities and

businesses, to reduce disaster risk" (UNDRR, 2015[5]). The key target to "substantially increase the number of countries with national and local disaster risk reduction strategies by 2020" (§18e) is rendered more actionable at all levels of government with the recognition that "there is a need for focused action within and across sectors by states at local, national, regional and global levels" (§20) to achieve the framework's priorities. The importance of local action is further embedded in three of the framework's guiding principles:

- "Disaster risk reduction and management depends on co-ordination mechanisms within and across sectors and with relevant stakeholders at all levels, and it requires the full engagement of all state institutions of an executive and legislative nature at national and local levels and a clear articulation of responsibilities […]" (§19e);
- "While the enabling, guiding and co-ordinating role of national and federal state governments remain essential, it is necessary to empower local authorities and local communities to reduce disaster risk, including through resources, incentives and decision-making responsibilities, as appropriate" (§19f);
- "While the drivers of disaster risk may be local, national, regional or global in scope, disaster risks have local and specific characteristics that must be understood for the determination of measures to reduce disaster risk" (§19i).

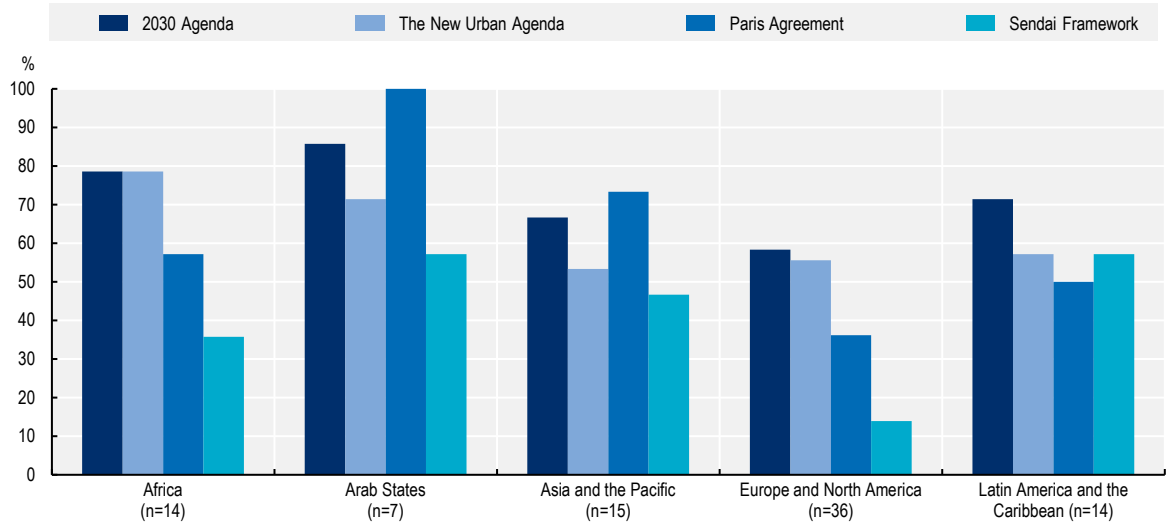
Source: United Nations (2015), *Transforming our world: the 2030 Agenda for Sustainable Development*, http://sustainabledevelopment.un.org; OECD (2020), *A Territorial Approach to the Sustainable Development Goals: Synthesis report*, OECD Urban Policy Reviews, OECD Publishing, Paris, https://dx.doi.org/10.1787/e86fa715-en; UNFCCC (2015), *The Paris Agreement*, https://unfccc.int/files/essential_background/convention/application/pdf/english_paris_agreement.pdf; UNDRR (2015), *Sendai Framework for Disaster Risk Reduction 2015-2030*, United Nations Office for Disaster Risk Reduction, https://www.undrr.org/publication/sendai-framework-disaster-risk-reduction-2015-2030.

The NUP country survey reveals interesting trends across the five global regions regarding recognition of NUP to the four urban-related global agendas (Figure 6.2):

- Regarding the SDGs, Arab States present the highest share of countries (6 out of 7 countries, or 86%) recognising the role of NUPs, followed by Africa (11 out of 14 countries, 79%), Latin America and the Caribbean (10 out of 14 countries, 71%), Asia and the Pacific (10 out of 15 countries, 67%) and Europe and North America (21 out of 36 countries, 58%).
- Regarding the NUA, a similar result was observed: countries in Africa and Arab States present higher shares, with 79% (11 out of 14) and 71% (5 out of 7), respectively, followed by countries in Latin America (57%), in Europe and North America (56%) and in Asia and the Pacific region (53%).
- Regarding the Paris Agreement, the survey results indicate that all the seven respondents in Arab States consider the Paris Agreement in their NUP, followed by countries in Asia and the Pacific (11 out of 15 countries, 73%), Africa (8 out of 14, 57%), Latin America and the Caribbean (7 out of 14, 50%), and Europe and North America (13 out of 36, 36%). This indicates increased awareness of the role of NUPs, especially in Arab States and Asia and the Pacific, in implementing climate change related actions within their urban areas, which may well reflect the environmental sustainability and resilience challenges characterising both regions, including extensive urban development along coastal zones and related flood-risks (UN-Habitat, 2018[6]). The result for Asia and the Pacific is coherent with the fact that their NUPs overall gave stronger attention to environmental sustainability (77%) and climate resilience (55%) than NUPs in the other regions (see Figure 3.8).
- The role of NUP to help achieve the Sendai Framework was found to be most prevalent in countries in Latin America and the Caribbean (8 out of 14, 57%) and in Arab States (4 out of 7, 57%), followed

by countries in Asia and the Pacific (7 out of 15, 47%), Africa (5 out of 14, 36%) and in Europe and North America (5 out of 36, 14%).

Figure 6.2. Share of NUPs that help achieve selected global agendas, per global region



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020, NUPs and regional agendas.

Countries also use NUP to implement regional agendas such as the Urban Agenda for the European Union (EU), the New Leipzig Charter and the Africa Agenda 2063. Countries that reported addressing the Urban Agenda for the European Union in NUP include **Austria, Bulgaria, Croatia, Finland, Netherlands**, **Norway**, **Serbia**, **Slovak Republic** and **Slovenia**. NUP can also support implementing the New Leipzig Charter, adopted in November 2020, which provides a key policy framework document for sustainable urban development in Europe and guides the next phase of the Urban Agenda for the EU (Box 6.3). The African Union's Africa Agenda 2063 is a blueprint and master plan aiming to transform Africa into the global powerhouse of the future. **Burkina Faso**, **Ethiopia** and **Zambia** had included the Africa Agenda 2063 in their NUPs, particularly to support the implementation of its goal 4 on modern and liveable habitats in the face of increased urbanisation on the continent.

Box 6.3. The New Leipzig Charter

The New Leipzig Charter – the transformative power of cities for the common good – was adopted at the Informal Ministerial Meetings organised on 30 November 2020 under EU German Presidency. It provides a key policy framework document for sustainable urban development in Europe.

Building on the original 2007 Leipzig Charter on Sustainable European Cities, the New Leipzig Charter highlights the fact that cities need to establish integrated and sustainable urban development strategies and ensure their implementation for the city as a whole, from functional areas to neighbourhoods. It outlines five key principles of good urban governance: i) urban policy for the common good, ii) integrated approach, iii) participation and co-creation, iv) multi-level governance, and v) place-based approach. It also puts forward three city dimensions – the just, the green and the productive city – complemented by the cross-cutting dimension of digitalisation.

The New Leipzig Charter is also accompanied by an Implementing document which intends to guide the next phase of the Urban Agenda for the EU according to renewed parameters.

Source: EC (2020[7]), *New Leipzig Charter: The Transformative Power of Cities for the Common Good*, https://ec.europa.eu/regional_policy/en/information/publications/brochures/2020/new-leipzig-charter-the-transformative-power-of-cities-for-the-common-good.

Monitoring the progress of SDG 11.a through NUP

The SDG target 11.a aims to "*support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning*". In order to monitor the progress of SDG 11.a, the newly revised indicator 11.a.1 states "*number of countries that have national urban policies or regional development plans that: (a) respond to population dynamics, (b) ensure balanced territorial development, (c) increase local fiscal space*" (Box 6.4). This section assesses whether or not NUPs contain these elements, or 'qualifiers'.

Results hereinafter analysed stem from a 'self-reporting of countries, as part of the NUP country survey. In the absence of methodological guidance to assess whether or not a country's NUP or RDP actually 'responds to population dynamics', 'ensures balanced territorial development' or 'increases local fiscal space', the country survey information was treated at face value. Therefore, in addition to collecting quantitative (i.e. yes/no) answers, the survey also asked countries to provide qualitative information through brief explanations of their selection for each of the qualifiers.

Box 6.4. The three 'qualifiers' of the SDG 11.a.1 indicator

Respond to population dynamics

Policies and plans should respond to population dynamics. This qualifier examines how NUP addresses population composition, trends and projections in achieving development goals and targets. Grounding policies and plans in the most current and comprehensive spatial and demographic data and projections is indeed a prerequisite for successful implementation. In most countries, the challenges posed by rapid urbanisation stem from the fact that policy and planning framework and their implementation are outpaced by population growth and having urban policy priorities that may not prioritise inclusive development for current and future residents. This strains provision of infrastructure services and creates socio-economic challenges and environmental damage.

Forecasting demographic trends and needs in the diagnostic phase of NUPs enables governments to plan for urbanisation, including provision of adequate land, infrastructure and services in a cost-efficient and less socially disruptive manner. Furthermore, the national data collection for urban policies and plans can provide the impetus to improve national data collection on urban areas, providing baselines to monitor urban policies among other SDG indicators.

Ensure balanced territorial development

Policies and plans should ensure a spatially coherent territory that includes a balanced system of human settlements, cities and towns along the urban, peri-urban and rural continuum, including addressing social, economic, environmental and spatial disparities that may exist among them. NUPs should also promote distinctive strengths and encourage beneficial territorial interactions for efficient and sustainable growth of the country. Such policy frameworks should strengthen and direct urban and rural

flows towards the most sustainable patterns of production, consumption and equitable resource distribution, as they can strike the balance between competition and solidarity between territories of a country.

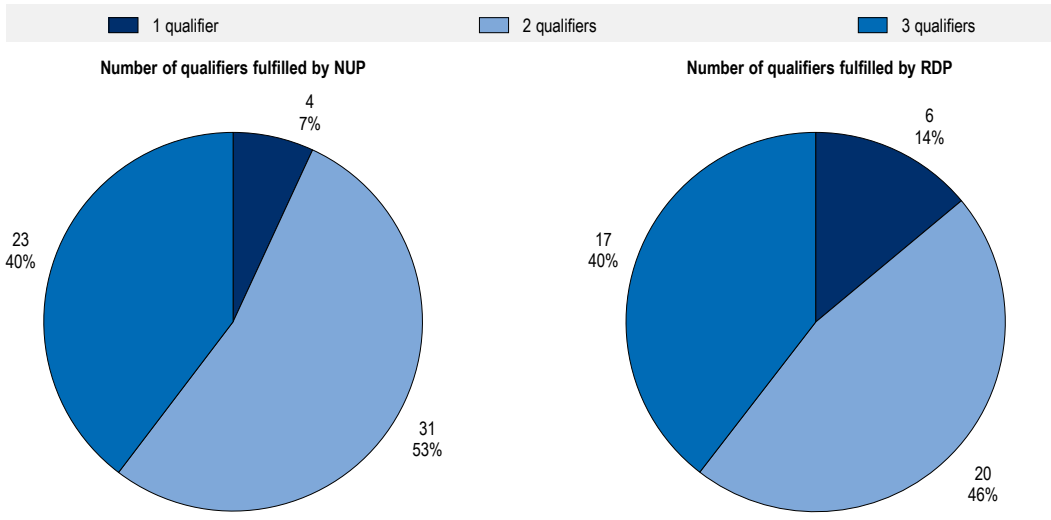
Increase local fiscal space

"Fiscal space" is defined as the financing that is available to government as a result of concrete policy actions for enhancing resource mobilization, and the reforms necessary to secure the enabling governance, institutional and economic environment for these policy actions to be effective, for a specified set of development objectives (UNDP, 2007[8]). Local fiscal space is understood as the sum of financial resources available for improved delivery of basic social and economic services at the local level without any prejudice to the sustainability of a government's financial position. As a third qualifier, increasing local fiscal space involves ensuring that sub-national and local governments have the adequate financial resources to carry out their responsibilities, including successful implementation of policies and plans. As such, policies and plans should ensure that the transfer of competences from central to local levels is accompanied by commensurate devolution of financial resources and autonomy. This includes enhancing their capacity to expand and diversify endogenous financial resources and revenues and not to over rely on central transfers.

Source: UN-Habitat and UNFPA (2020), *Metadata on SDGs Indicator 11.a.1 Indicator category: Tier III.*, https://unhabitat.org/sites/default/files/2021/01/metadata_on_sdg_indicator_11.a.1_06_2020.pdf; United Nations (2018), *Tracking Progress Towards Inclusive, Safe, Resilient and Sustainable Cities and Human Settlements: SDG 11 Synthesis Report*, https://unhabitat.org/sites/default/files/2019/05/sdg_11_synthesis_report_web2_0.pdf; UNDP (2007), *Fiscal Space for What? Analytical Issues from A Human Development Perspective*, United Nations Development Programme.

According to the NUP country survey, 23 NUPs and 17 Regional Development Plans (RDPs) fulfil all the three qualifiers, 31 NUPs and 20 RDPs met two of the qualifiers, and 4 NUPs and 6 RDPs meet only one qualifier (Figure 6.3). Overall, 30 countries have reported that either their NUPs or RDPs meet all the three qualifiers, thus fulfilling the SDG 11.a. The survey result for NUPs by country is found in the Annex 6.A of this report.

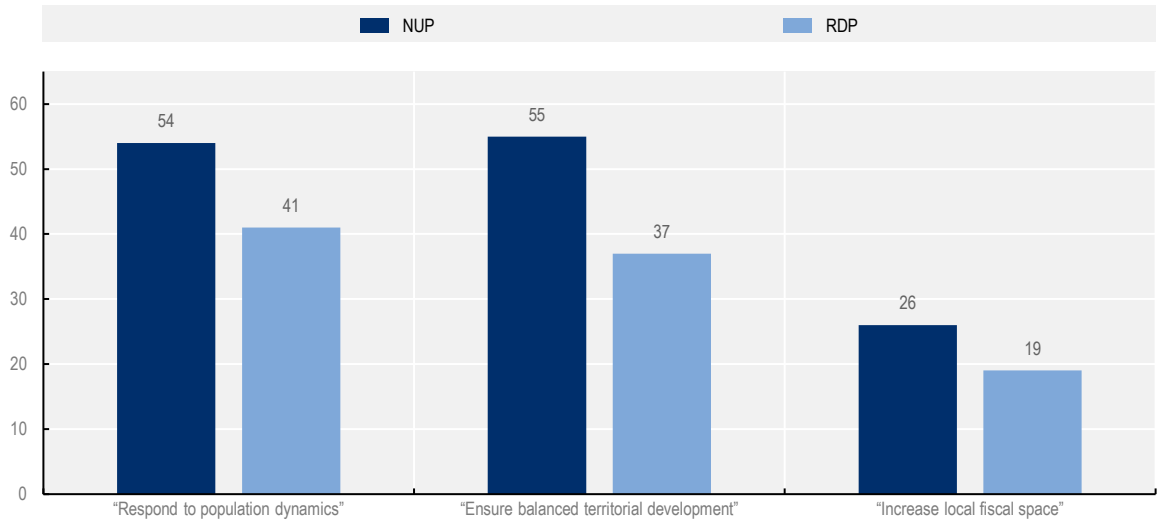
Figure 6.3. Number of NUPs and RDPs that fulfil SDG 11.a.1, by number of qualifiers, n = 58 (NUPs), n = 43 (RDPs)



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Among the three SDG 11.a.1 qualifiers, the first qualifier "*ensure balanced territorial development*" is reported as "fulfilled" by 54 NUPs (93%), and the second qualifier *"respond to population dynamics"* is reported as "fulfilled" by 55 NUPs (95%). Many countries reported that their NUP focused on either one or two qualifiers. In contrast, the third qualifier *"increase local fiscal space"* was regarded as "fulfilled" by only 26 NUPs (45%) (Box 6.5). A similar trend was observed with RDPs. The first qualifier '*respond to population dynamic'* and the second qualifier *'ensure balanced territorial development'* were reported as fulfilled by 41 and 37 countries respectively, while the third qualifier *"increase local fiscal space*" was reported as fulfilled only by 19 countries.

Figure 6.4. Number of NUPs and RDPs that fulfil the SDG 11.a.1, by type of qualifier, n = 58 (NUPs), n = 43 (RDPs)



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

The strong focus on *"balanced territorial development"*, in NUPs (55 countries) and RDPs (37 countries) could be attributed to the fact that many NUPs and RDPs aim to ensure sustainable land consumption, a key issue for countries undergoing urbanisation. In many countries, low density urban development and urban sprawl are characteristics of cities, locking in unsustainable land and other resource-use patterns. The survey responses indicate that countries appreciate the importance of evaluating the impacts of unplanned urban expansion on their cities and the value of NUPs as an instrument to address the associated challenges.

Many NUPs (53) and RDPs (40) also consider *"population dynamics"*. This reflects the people centred nature of NUPs and RDPs, and indicates that they help address challenges associated with urban population growth and development trends. It also implies that countries recognise well that the majority of people live and will continue to live in cities, and that urban policy needs will increase. NUPs that focus on population dynamics are pro-people in their formulation and aim to ensure increased opportunities, equity and freedom of choice for all without leaving anyone behind. They have targeted actions addressing all age sets of the population and catering for their needs for infrastructure and services, reflecting the projected demographic changes.

Finally, fewer NUPs (26) and RDPs (19) include *"fiscal space"*, suggesting that efforts are needed to make countries have a clearer understanding of the third qualifier, its importance in sustainable urban development and how it may be integrated in their NUPs and RDPs. Fiscal space is a critical element for economic, social and environmental investments in urban areas and a necessary ingredient for achieving

the SDGs, as any cities' abilities to create and sustain economic growth is enhanced or constrained by its fiscal capacity. Urbanisation and expanding urban areas in most countries have increased demands for public services, with principal revenue sources often not able to keep up with rapidly rising demands, exposing them to fiscal pressures. On the other hand, they are also concerned that higher taxes to finance the increased demands may drive away and deter business investment, and create an additional burden for urban residents. Effective NUPs can help strike the right balance to maximise public fiscal capacity and provide incentives to raise and apportion revenue to address finance deficits for sustainable urban development.

The result of the NUP survey presents many examples of how NUPs and RDPs have been integrating the three qualifiers; one example is in improving financial accountability in countries such as **Austria**, **Germany** and **Sweden**, where NUPs or RDPs have strong fiscal equalisation mechanisms as an indicator of national commitment to preserve a balanced urban system. Furthermore, these countries indicated the unique catalytic role of development banks in improving fiscal space by supporting policy and institutional reforms in partner countries, enhancing quality of urban programmes and advancing global agendas. Further examples are presented in Box 6.5Box 6.5.

Box 6.5. Examples of how NUPs and RDPs have integrated the 3 qualifiers

Bulgaria (3 qualifiers): To ensure balanced development of Bulgarian regions and to overcome negative demographic trends, the National Concept for Spatial Development (NCSD) and the country's regional development plan are based on regional socio-economic and demographic trends. Furthermore, fiscal support and transfer for regions, cities and municipalities are stipulated, with population as a main distribution criterion. NCSD recommends moderate polycentrism to ensure the balanced territorial development of Bulgaria.

Costa Rica (3 qualifiers): The National Urban Development Policy 2018-30 (PNDU) for Costa Rica promotes balanced territorial development by proposing a system of cities, and urban development decisions based on the system. Key to the system is the articulation of a network of intermediate cities to allow sharing and capitalise on the best experiences. Fiscal space is an important element, creating tools to finance and manage urban development, including modifying the Urban Planning Law. Specifically, it focuses on the importance of improving real estate tax and special contributions as the two main fiscal instruments.

Egypt (Qualifier 1 and 3): The 2015 National Urban Policy addresses rapid population growth and the capacity of current and new cities to absorb the population growth. The future system of cities included in the plan describes the potential of Egyptian cities and identifies priority urban cluster areas for development. Furthermore, the NUP promotes fiscal decentralisation and the boosting of local revenues, e.g. through optimising land-based financial instruments.

Montenegro (Qualifiers 1 and 2): The Spatial Plan of Montenegro aims at achieving spatially balanced and sustainable socio-economic development, as well as ensuring quality natural and living environments. Furthermore, it defines new building zones, infrastructural upgrades and the amount of utility charges and city rents to increase local fiscal space.

Slovenia (Qualifiers 1 and 2): Improving territorial cohesion for balanced regional and sustainable development taking into consideration and use of endogenous spatial planning potentials (resources) has been key aim of its NUP, the Slovenia Spatial Development Strategy. Territorial cohesion is based on enhancing territorial effectiveness, connecting three dimensions of space - physical, economic, and social/cultural - and is inclusive and based on participatory processes.

Source: OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Linking the 17 SDGs through NUP

Although the 17 global SDGs have been agreed on by nations, national governments alone cannot achieve the ambitious goals, as in many countries, cities and regions have core competencies for policy areas underlying the SDGs such as water, housing, transport, infrastructure, land use or climate change. Indeed, at least 105 of the 169 targets underlying the 17 SDGs will not be reached without local and regional governments (OECD, 2020[3]). In this context, NUP can help countries advance SDGs in urban areas, through the alignment of different sectoral policies and with the support of cities and residents.

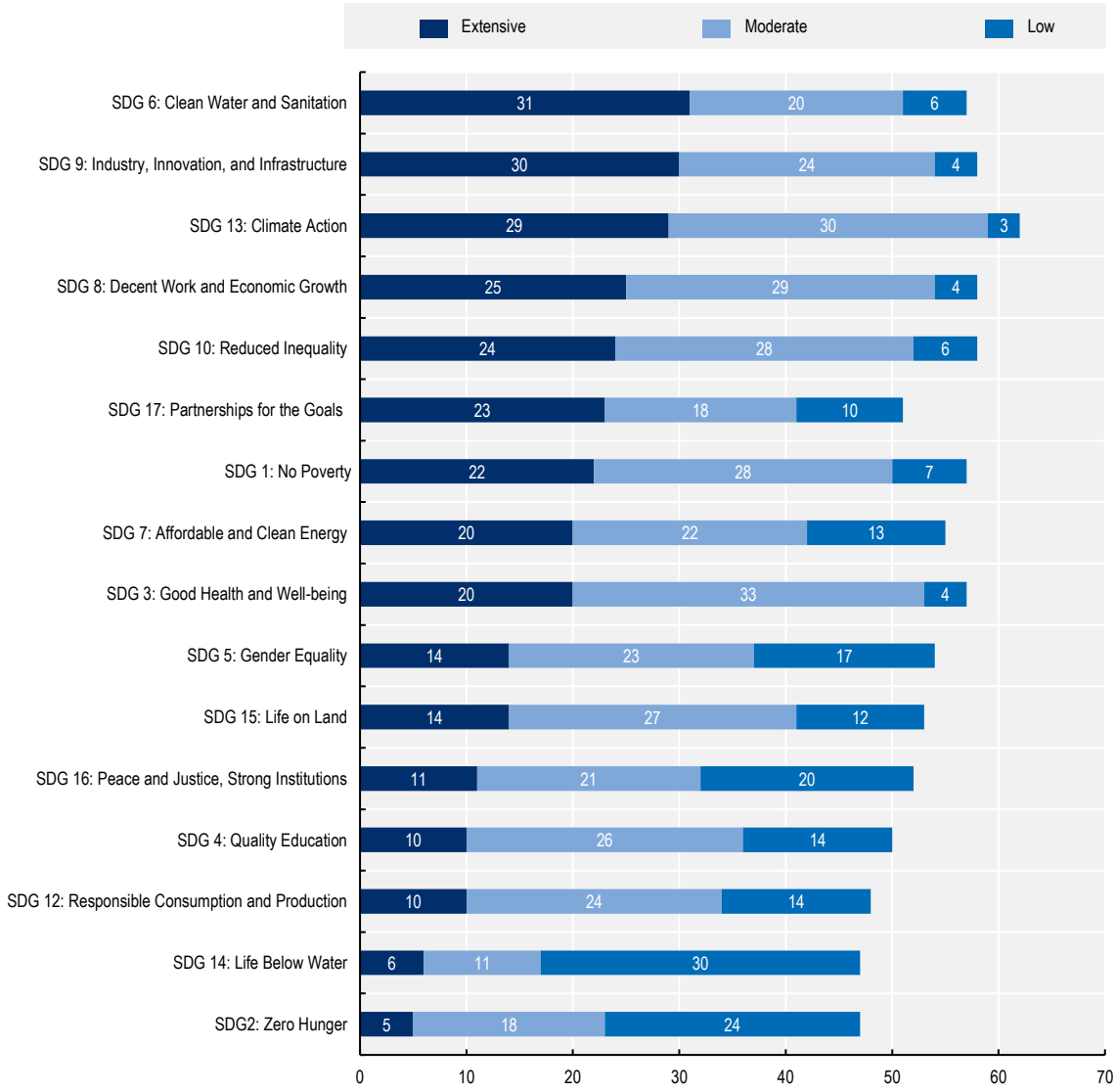
Achieving sustainable development in cities also requires addressing myriad development challenges in cities that need focusing on more than SDG 11. Hence, achieving SDG 11 and its targets has a clear effect on other SDGs and their targets, especially in urban areas. NUP has the potential to leverage the strong nexus between the SDGs by promoting synergies and addressing trade-offs across SDGs.

In this context, this section discusses NUPs' potential to linking the 17 SDGs and contributing to the achievement of the SDGs in an integrated manner. In urban areas, the success of the SDGs will largely depend on how urbanisation is co-ordinated and managed, and the majority of the countries (58 out of 86) reported that their NUPs help in achieving the SDGs. At a closer look, it is important to focus on the fact that the cross-sectoral and multi-faceted nature of NUPs would contribute to many other SDGs, beyond SDG 11. As a place-based strategy, NUPs can not only set forth the long-term and integrated strategic goals for urban areas, but can also link multiple policy sectors relevant in urban areas. For example, in the NUP country survey, countries such as **Costa Rica, Germany, Serbia** and **Zambia** argued that achieving urban sustainability requires integrated urban policies, and that effective integrated urban policies must link to other SDGs.

According to the responses to the NUP country survey, the top four SDGs that NUP can extensively contribute to, aside from SDG 11, were SDG 6 on clean water and sanitation (31 countries), SDG 9 on industry, infrastructure and innovation (30), SDG 13 on climate action (29) and SDG 8 on decent work and economic growth (25). When considering both extensive and moderate levels of contribution, SDG 13 had the most NUP contributions (59 countries), followed by SDG 8 and SDG 9 (54) and SDG 3 on good health and well-being (53) (Figures 6.5 and 6.6). The extensive focus of NUPs on SDGs 6, 9, 13 and 8 could be attributed to the targets in these SDGs associated with the management of urbanisation. For instance, social development and economic prosperity in cities depends on the sustainable and inclusive access to and management of water and sanitation, including addressing its rising inequality (SDG 6). Access to technologies and infrastructure are essential to accelerating productivity and addressing urban poverty reduction (SDG 9). Well performing urban infrastructure not only transforms the quality of services, but also promotes economic development by guaranteeing jobs and income (SDG 8). Urban policies that earmark funding for sustainable transport can drive the low-carbon transition in cities (SDG 13).

Countries also provided examples of how their NUPs are relevant to different SDGs. In **Armenia**, a key policy objective for the NUP is to provide urban settlements with fresh spring water, well-maintained sanitation zones and sewer systems with treating plants. **Bulgaria** has introduced a special requirement to include climate action measures in all the integrated territorial strategies of the regions and in the integrated municipal development plans of the cities. In **Israel**, employment is a key focus area of their Urban Strategic Plan for 2040, with the aim to promote an integrated vision for employment and industrial areas, considering local, regional and national needs. The Planning Authority of **Israel** has also introduced a regulation making the Israeli Green Building Code mandatory throughout the country from March 2022 onwards.

Figure 6.5. Number of NUPs per level of contribution to other SDGs, n = 86



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

In addition to the global overview of how countries see potential NUP contribution to SDGs other than SDG 11, some notable regional variations for selected SDGs are observed.

- *SDG 6 (clean water and sanitation)*: According to the NUP country survey, 22 countries in Asia and the Pacific, 20 in Africa, 20 in Latin America and the Caribbean, and 6 in the Arab States reported that their NUPs contribute to SDG 6 either extensively or moderately.
- *SDG 9 (industry, innovation and infrastructure)*: The NUP's moderate to extensive contribution to SDG 9 varied across the five regions, with countries in Europe and North America leading at 38%, Africa, Asia and the Pacific and Latin America and the Caribbean at 19% each. Only 5% of NUPs in Arab States were reported as 'moderate and extensive'.
- *SDG 13 (climate action)*: Regional differences in the contributions of 57 countries' NUPs to the implementation of SDG 13 climate change is quite evident, with Europe and North America at 37% of NUPs, followed by Asia at 21% and Africa at 19%.

Figure 6.6. Number of NUPs contributing extensively to other SDGs

Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Co-ordinating between NUP and SDGs implementation

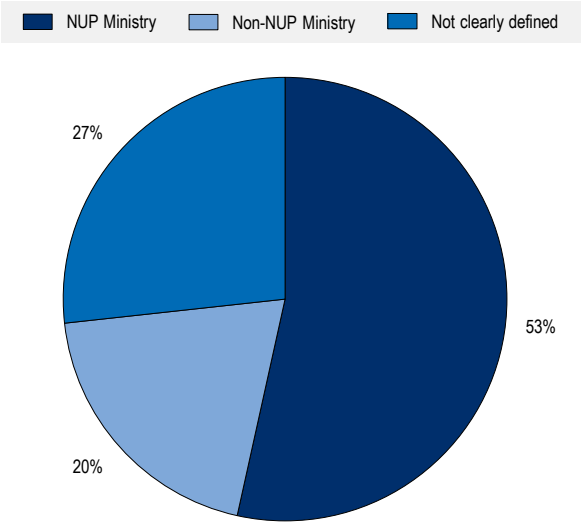
Given the demonstrated importance of NUP in advancing SDGs in many countries, it is crucial that NUPs and SDGs are well aligned and co-ordinated in their implementation processes. This section discusses how to better align and co-ordinate between NUP and SDGs implementation from two perspectives: institutions and monitoring frameworks.

Institutions leading NUP and SDGs implementation

The NUP country survey indicated that in over half of the countries (53%) the ministry or agency charged with the formulation, implementation, monitoring and evaluation of NUPs is also responsible for the implementation and monitoring of SDG 11 (Figure 6.7). In **Eswatini**, **Malawi** and **Zambia**, the ministries responsible for economic planning and development are responsible for implementing both NUPs and SDGs. In some countries, specialised departments and agencies have the responsibility, such as the Federal Institute for Research on Building, Urban Affairs and Spatial Development (BBSR) in **Germany** and National Institute for Statistics in **Portugal**. In these countries, there is high expectation that NUPs and SDGs implementation can be well aligned and co-ordinated. In contrast, the survey also reported that in 20% of the countries, implementation and monitoring of the SDGs is undertaken by other ministries and government agencies, including **Latvia, Serbia** and **Thailand,** among others. It is noteworthy that in 27% of countries reported that it is not clearly defined which institutions are in charge.

Whether or not the same institutions are in charge of implementing both NUPs and SDGs, what is important is to clarify the roles of different institutions and establish clear alignment and co-ordination mechanisms. Several countries indicated that it is a general consensus that the implementation and monitoring of SDG 11 cuts across initiatives of other sectoral agencies, and that there is thus a need for horizontal co-ordination with these agencies, as reported by **Philippines**, **Romania**, **Saudi Arabia** and **Sweden**.

Figure 6.7. Ministries in charge of implementing NUP and SDG 11



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Integrating NUP targets and indicators with SDGs

The monitoring and evaluation of NUPs is closely related to the monitoring and evaluation of the SDGs and the NUA. Through the monitoring and evaluation of NUPs, national governments can provide consistent feedback on their progress to the implementation of the SDGs and the NUA, and vice versa, monitoring and evaluation of the SDGs and NUA can inform and provide future direction of NUPs.

The NUP country survey found that several countries have integrated SDG targets and indicators in their NUP monitoring and evaluation frameworks. The integration ranges from general, where NUP monitoring implies achievement of the targets and indicators (**Panama**, **Serbia**), to specific, where NUP policy objectives are aligned to achieving specific SDG targets and indicators (**Cuba**, **Ethiopia, Malawi, Mexico**, **Montenegro**, **Sao Tome and Principe**, **Saudi Arabia**, **Spain**, **Thailand**). In **Mexico**, indicators have been established to evaluate dimensions of at least 8 of the 17 SDGs, with a special contribution to SDG 11. In **Cuba**, the National Action Plan for Cuba 2036 for the implementation of the New Urban Agenda aligns with the 2030 Agenda and all SDGs, and contains a set of urban indicators to measure national progress in achieving the urban SDGs. In **Montenegro**, the National Strategy for Sustainable Development 2030 has introduced 281 selected national indicators for the monitoring of sustainable development, in addition to the SDG indicators. The indicators are based on needs and specificities of national development as identified since 2007. In **Spain**, strategic objectives and indicators of the Spanish Urban Agenda are aligned with the urban goals and indicators of the 2030 Agenda (Box 6.6).

Box 6.6. Promoting the 2030 Agenda and the New Urban Agenda through NUP in Spain

The Spanish Urban Agenda (Agenda Urbana Española, AUE) is a non-binding strategic document established in accordance with the 2030 Agenda, the New Urban Agenda and the Urban Agenda for the European Union to pursue sustainability in urban development policies. It also constitutes a working methodology and a process for all stakeholders. This integrated urban development strategy offers a Decalogue of Strategic Objectives, 30 specific objectives and 291 lines of action, creating a diverse menu for cities and towns interested in implementing their action plans, regardless of their size and population, and under the triple prism of economic, social and environmental sustainability.

The AUE is established to facilitate management and direct urban development in Spain. In a highly decentralised context, where competences in urban matters are distributed to various levels of government, the AUE aspires to draw a common action path on key issues for the sustainability and future of cities and human settlements. It establishes the fundamental lines of action to central government in competencies that are directly assigned to it and, at the same time, generates instruments to guide other levels of government and stakeholders in their own plans and actions towards common urban sustainability objectives.

The implementation of the AUE has been key for Spain to advance the SDGs; since it constitutes one of the 10 key lever policies defined in the action plan for the Implementation of the 2030 Agenda - Spanish Strategy for Sustainable Development. Experiences from its implementation include:

- New approaches to address complexity: unlike the previous urban strategies defined by the national government, the AUE is a comprehensive framework, which includes several sectors: from the classic urban issues – housing, mobility, planning, urban services – to new, emerging tasks such as smart cities; from economy to health; from climate change to social integration.
- The process is fundamental: AUE is understood as a process, as a mechanism that facilitates the action of the different levels of government in the urban environment. In this sense, it is presented as a framework document, from which each of the administrations and other actors can generate their specific action plans.
- A common framework for urban monitoring: the AUE aims to adapt to the different realities of cities and territories in Spain, from large metropolises to small towns. To do this, it has defined a set of existing indicators for each of the established objectives, which can be – partially or totally – used by local governments, both to prepare the diagnosis of their action plans and to jointly monitor progress.

Source: OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

In countries where NUP is not fully formulated, monitoring and evaluation frameworks have not been developed (**Costa Rica**, **Egypt** and **Myanmar**). In such cases, or where NUPs are undergoing reviews, consideration should be given to aligning the NUP monitoring and evaluation frameworks with SDG targets and indicators to the extent relevant and appropriate. In **Costa Rica** for example, the PNDU for the country does not have a specific evaluation and follow-up model yet, and thus has an opportunity to include indicators to monitor and report on the fulfilment of the 2030 Agenda. It is also notable that SDG targets and indicators are not integrated into the monitoring and evaluation framework of most countries that do not have explicit NUPs, which presents key opportunities in the future.

It is also important to note that, technically speaking, the globally defined SDG targets and indicators are not always possible to apply to NUPs, because they were not designed specifically for cities. There are a number of international attempts to develop localised SDG targets and indicators, which can also be used

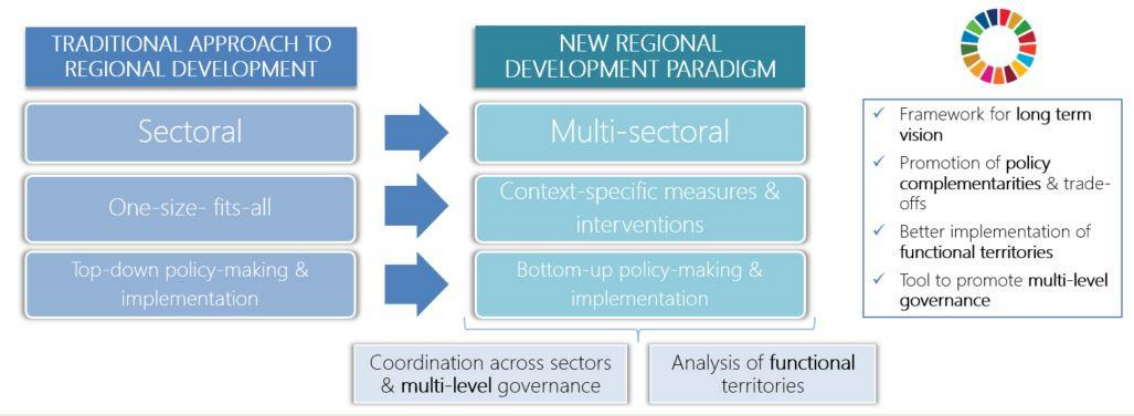
to monitor NUPs. For example, the OECD programme *A Territorial Approach to the SDGs* is based on the recognition that cities and regions play a crucial role in achieving the SDGs (Box 6.7), and measures the performance of OECD cities and regions in achieving them. As is presented in Chapter 5, the data from 649 cities found that cities are not yet on track to achieve the SDGs (Box 5.3), which is highly contrasted with the result of this chapter's analysis – countries' high recognition that NUPs can contribute to achieving many SDGs.

Box 6.7. A Territorial Approach to the SDGs: Framework and Checklist

The 2030 Agenda was not designed specifically for cities, but they play a crucial role in achieving the SDGs. The OECD estimates that at least 105 of the 169 targets underlying the 17 SDGs will not be reached without proper engagement and co-ordination with local and regional governments, as cities and regions have core responsibilities that are central to sustainable development and well-being (e.g. water services, housing or transport). Cities and regions are thus an integral part of the solution as the varying nature of sustainable development challenges calls for place-based solutions tailored to territorial specificities and capacities. Place-based policies incorporate a set of co-ordinated actions designed for a particular city or region and stress the need to shift from a sectoral to a multi-sectoral approach, from one-size-fits-all to context-specific measures, and from a top-down to a bottom-up approach.

The SDGs can help to advance the shift towards a new regional development paradigm and provide a framework to implement it because the 2030 Agenda provides a long-term vision for policies with a common milestone in 2030, while acknowledging that targeted action is needed in different places (Figure 6.8).

Figure 6.8. A territorial approach to the SDGs supports the transition to a new regional development paradigm



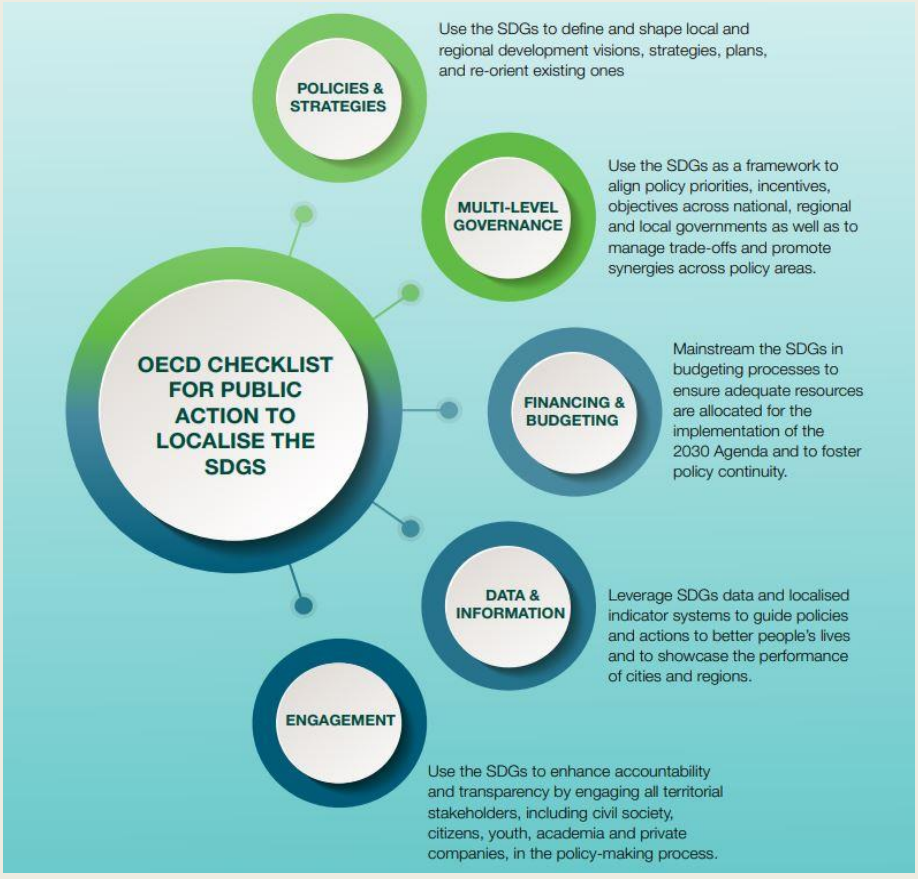
Source: OECD elaboration based on OECD (2020), *A Territorial Approach to the Sustainable Development Goals*, https://doi.org/10.1787/e86fa715-en

The 17 interconnected SDGs cover the social, economic and environmental dimensions of sustainable development in a balanced way and allow policymakers to better address them concomitantly. They also allow the promotion of policy complementarities and the management of trade-offs across goals. The SDGs allow better implementation of the concept of functional territories, a common framework that neighbouring municipalities can use to strengthen collaborations and to co-ordinate actions.

Regional policy aims to effectively address the diversity of economic, social, demographic, institutional and geographic conditions across cities and regions. It also ensures that sectoral policies are co-ordinated with each other and meet the specific needs of different regions, and regional policy provides the tools that traditional structural policies often lack in order to address region-specific factors that cause economic and social stagnation (OECD, 2019[9]). The SDGs can help to bring various departments of a local administration together to strengthen the collaboration in policy implementation. A participatory policymaking and bottom-up process is one of the core elements of a territorial approach to the SDGs. Furthermore, the SDGs provide cities and regions with a tool to effectively engage in multi-stakeholder dialogues with actors from the private sector and civil society, as well as schools and academia.

The OECD has developed a Checklist for Public Action directed at governments at all levels to facilitate the implementation of a territorial approach to the SDGs (Figure 6.9). The checklist provides action-oriented recommendations around five main categories that emerged as key pillars for a territorial approach to the SDGs: i) planning, policies and strategies; ii) multi-level governance; iii) financing and budgeting; iv) data and information; and v) engagement. The checklist also presents some examples and good practices on how to implement the recommendations, both from the pilots of the OECD programme and other cities and regions.

Figure 6.9. OECD Checklist for Public Action to localise the SDGs



Source: OECD elaboration based on OECD (2020), *A Territorial Approach to the Sustainable Development Goals*, https://doi.org/10.1787/e86fa715-en

Ways forward

This chapter highlighted the fact that countries have been recognising the role of NUPs in advancing and localising global agendas and integrating them into the NUP implementation as well as monitoring and evaluation. The two most common agendas were the 2030 Agenda for Sustainable Development (57 countries) followed by the New Urban Agenda (52 countries), but countries also clearly indicated that NUPs can help achieve the Paris Climate Agreement and the Sendai Framework for Disaster Risk Reduction, reflecting the significant potential of cities to mitigate and adapt to climate change and to reduce disaster risks. This indicates that many countries recognise NUP's potential to advance the policy objectives in these global agendas, such as ending poverty, protecting the environment, improving partnerships, and enhancing sustainable production and consumption. In addition, this also implies that national governments recognise that their implementation of global agendas requires co-ordinated actions at local, national and global levels. The analysis also shows there is some regional diversity in recognising NUP's contribution to drive global agendas. For example, countries in the Arab States and Asia and the Pacific regions have put more emphasis on the role of NUPs in implementing the Paris Agreement due to their increased need and responsibility for implementing climate change-related actions in their urban areas.

The fact that NUP is now officially a part of the SDGs indicator framework (SDG 11.a.1) will accelerate the development of NUPs in the coming years. It is important for countries to ensure that their NUPs meet the three qualifiers: "ensure balanced territorial development", "respond to population dynamics" and "increase local fiscal space". The NUP country survey indicated that 41% of countries reported their NUPs or regional development plans fulfil all the three qualifiers. However, only 26 NUPs were reported to fulfil the qualifier "increase local fiscal space", implying the need for countries to better understand its importance in sustainable urban development and how it may be integrated into NUP. Countries should develop NUPs that leverage the strong nexus with multiple SDGs to address the myriad development challenges in cities. Aside from SDG 11, and owing to its cross-sectoral and multi-faceted nature, NUPs were recognised as helping to contribute extensively to many other SDGs, including Goals 6, 8, 9 and 13, which are key to managing urbanisation sustainably.

Finally, countries should consider aligning NUP monitoring and evaluation frameworks with urban-related SDGs indicators. Institutionally speaking, the majority of countries reported that the ministry or agency charged with NUP are also responsible for monitoring SDGs. However, whether or not the same institutions are in charge of implementing both NUP and SDGs, it is important to clarify the roles of different institutions and to establish clear alignment and co-ordination mechanisms for monitoring NUP and SDGs. Many governments and institutions have recently developed localised SDGs indicators to monitor the progress of cities and regions. It is important to recognise that these indicators are often compatible and can be effectively used to monitor and evaluate the performance of NUP. In this regard, lead NUP ministries should seek for synergies with initiatives to support localising SDGs in designing their NUP evaluation and monitoring framework. As is observed in previous chapters, many countries are yet to develop their NUP monitoring and evaluation frameworks, which provides immediate opportunities.

Going forward, countries should **enhance the contribution of NUP to global and regional agendas**, notably the SDGs, the New Urban Agenda, the Paris Climate Agreement and Sendai Framework for Disaster Risk Reduction, as well as regional agendas such as the New Leipzig Charter and the Africa Agenda 2063. Another key step is to **align NUP targets and indicators with the SDGs and other global indicators** to build a coherent monitoring and evaluation framework.

Annex 6.A. Measuring how NUPs fulfil SDG 11.a.1 qualifiers and contribute to global agendas

This table provides a breakdown of the 86 country survey respondents' answers regarding: i) whether the country NUP meets one or more of the three qualifiers under SDG indicator 11.a.1, a) "Respond to population dynamics", b) "Ensure balanced territorial development", c) "Increase local fiscal space"; ii) whether the country NUP makes reference to, or intends to help achieve, the 2030 Agenda for Sustainable Development, the New Urban Agenda, the Paris Agreement, and/or the Sendai Framework for Disaster Risk Reduction.

Annex Table 6.A.1. Measuring how NUPs fulfil SDG 11.a.1 qualifiers and contribute to global agendas

Country	2030 Agenda	SDG 11.a.1			New Urban Agenda	Paris Agreement	Sendai Framework
		Population dynamics	Territorial development	Local fiscal space			
Algeria	Yes	Yes	Yes		No	Yes	Yes
Armenia	Yes	Yes	Yes		No	Yes	Yes
Australia	Yes	Yes	Yes		No	No	No
Austria	Yes	Yes	Yes		Yes	Yes	No
Azerbaijan	No				No	Yes	No
Belgium	No				No	No	No
Bolivia	Yes	Yes	Yes	Yes	Yes	No	No
Brazil	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Bulgaria	Yes	Yes	Yes	Yes	Yes	No	No
Burkina Faso	Yes	Yes	Yes		Yes	Yes	No
Cabo Verde	Yes	Yes	Yes	Yes	Yes	No	No
Canada	No	Yes	Yes	Yes	No	Yes	No
Chile	No				No	No	Yes
Colombia	Yes	Yes	Yes	Yes	Yes	Yes	No
Costa Rica	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Croatia	Yes	Yes	Yes		Yes	Yes	No
Cuba	Yes		Yes		Yes	Yes	Yes
Czech Republic	Yes	Yes	Yes	Yes	Yes	No	No
Denmark	No				No	No	No
Ecuador	Yes	Yes	Yes		Yes	Yes	Yes
Estonia	Yes	Yes	Yes	Yes	Yes	No	No
Eswatini	No				No	No	No
Ethiopia	Yes	Yes	Yes	Yes	Yes	Yes	No
Finland	Yes	Yes	Yes		Yes	Yes	No
France	No				No	No	No
Germany	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Country	2030 Agenda	SDG 11.a.1			New Urban Agenda	Paris Agreement	Sendai Framework
		Population dynamics	Territorial development	Local fiscal space			
Ghana	No				No	No	No
Greece	No				No	No	No
Guatemala	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Honduras	No				No	No	No
Hungary	No				No	No	No
Iceland	No				No	No	No
Iran	No		Yes		Yes	Yes	Yes
Ireland	Yes				Yes	Yes	No
Israel	No	Yes	Yes		No	Yes	No
Italy	Yes	Yes	Yes	Yes	Yes	No	No
Japan	Yes	Yes	Yes		Yes	Yes	Yes
Jordan	No				Yes	Yes	No
Kazakhstan	Yes	Yes	Yes	Yes	No	No	No
Kuwait	Yes				No	Yes	No
Latvia	No	Yes	Yes	Yes	Yes	No	No
Lebanon	Yes				Yes	Yes	Yes
Lithuania	Yes	Yes	Yes		No	No	No
Luxembourg	No				No	No	No
Madagascar	Yes	Yes	Yes	Yes	Yes	Yes	No
Malawi	Yes	Yes	Yes	Yes	Yes	No	No
Malta	Yes	Yes	Yes		Yes	Yes	No
Mexico	Yes	Yes	Yes		Yes	Yes	Yes
Montenegro	Yes	Yes	Yes		Yes	Yes	Yes
Morocco	Yes				Yes	Yes	Yes
Myanmar	Yes		Yes	Yes	Yes	Yes	No
Namibia	No				No	No	No
Nepal	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Netherlands	Yes	Yes	Yes		Yes	Yes	No
New Zealand	No	Yes			No	No	No
Nicaragua	No				No	No	No
Nigeria	Yes	Yes	Yes		Yes	Yes	Yes
Norway	Yes	Yes	Yes		Yes	Yes	Yes
Panama	Yes	Yes	Yes		No	No	Yes
Paraguay	No				No	No	No
Peru	Yes	Yes		Yes	No	No	No
Philippines	Yes	Yes	Yes		Yes	Yes	Yes
Poland	No		Yes		No	No	No
Portugal	No	Yes	Yes		No	No	No
Republic of Korea	Yes	Yes	Yes		Yes	Yes	No
Romania	Yes	Yes	Yes		Yes	Yes	Yes
Russian Federation	Yes	Yes	Yes	Yes	No	No	No

Country	2030 Agenda	SDG 11.a.1			New Urban Agenda	Paris Agreement	Sendai Framework
		Population dynamics	Territorial development	Local fiscal space			
Rwanda	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Sao Tome and Principe	Yes	Yes	Yes		Yes	No	Yes
Saudi Arabia	Yes	Yes	Yes		Yes	Yes	Yes
Senegal	Yes	Yes	Yes	Yes	Yes	Yes	No
Serbia	Yes	Yes		Yes	Yes	No	No
Slovakia	Yes				Yes	No	No
Slovenia	Yes	Yes	Yes		Yes	No	No
Spain	Yes	Yes	Yes		Yes	Yes	Yes
Sweden	Yes	Yes	Yes		Yes	Yes	No
Switzerland	No				No	No	No
Thailand	Yes				Yes	Yes	Yes
Tunisia	Yes				Yes	Yes	No
Turkey	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Turkmenistan	N/A				N/A	N/A	N/A
Ukraine	No	Yes	Yes	Yes	No	No	No
United Kingdom	No				No	No	No
Tanzania	Yes				Yes	Yes	Yes
United States of America	No				No	No	No
Zambia	Yes	Yes	Yes	Yes	Yes	Yes	Yes

Source: (OECD/UN-Habitat/Cities Alliance, 2020[10]).

References

EC (2020), *New Leipzig Charter: The Transformative Power of Cities for the Common Good*, European Commission, https://ec.europa.eu/regional_policy/en/information/publications/brochures/2020/new-leipzig-charter-the-transformative-power-of-cities-for-the-common-good. [7]

OECD (2020), *A Territorial Approach to the Sustainable Development Goals: Synthesis report*, OECD Urban Policy Reviews, OECD Publishing, Paris, https://dx.doi.org/10.1787/e86fa715-en. [3]

OECD (2019), *OECD Regional Outlook 2019: Leveraging Megatrends for Cities and Rural Areas*, OECD Publishing, Paris, https://dx.doi.org/10.1787/9789264312838-en. [9]

OECD/UN-Habitat/Cities Alliance (2020), *National Urban Policy Country Survey 2020*. [10]

UNDP (2007), *Fiscal Space for What? Analytical Issues from A Human Development Perspective*, United Nations Development Programme. [8]

UNDRR (2015), *Sendai Framework for Disaster Risk Reduction 2015-2030*, United Nations Office for Disaster Risk Reduction, https://www.undrr.org/publication/sendai-framework-disaster-risk-reduction-2015-2030. [5]

UNFCCC (2015), *The Paris Agreement*, https://unfccc.int/files/essential_background/convention/application/pdf/english_paris_agreement.pdf. [4]

UN-Habitat (2018), *Tracking Progress Towards Inclusive, Safe, Resilient and Sustainable Cities and Human Settlements: SDG 11 Synthesis Report - High Level Political Forum 2018*, United Nations, New York, https://dx.doi.org/10.18356/36ff830e-en. [6]

UN-Habitat and UNFPA (2020), *Metadata on SDGs Indicator 11.a.1 Indicator category: Tier III.*, https://unhabitat.org/sites/default/files/2021/01/metadata_on_sdg_indicator_11.a.1_06_2020.pdf. [11]

United Nations (2018), *Tracking Progress Towards Inclusive, Safe, Resilient and Sustainable Cities and Human Settlements: SDG 11 Synthesis Report*, https://unhabitat.org/sites/default/files/2019/05/sdg_11_synthesis_report_web2_0.pdf. [12]

United Nations (2016), *Policy paper 3: National urban policy*, https://habitat3.org/wp-content/uploads/Policy-Paper-3-English.pdf. [1]

United Nations (2015), *Transforming our world: the 2030 Agenda for Sustainable Development*, http://sustainabledevelopment.un.org. [2]

7 Driving the zero-carbon transition and climate resilience through NUP

This chapter analyses the extent to which national urban policy (NUP) addresses issues related to climate adaptation and mitigation, and related challenges and co-ordination mechanisms. Climate action features prominently in most NUPs within traditional urban planning priorities (e.g. the built environment) and among a growing share of NUPs exploring innovative mechanisms, such as local greenhouse gas emission inventories. Countries identify that urban climate interventions generate multiple, related benefits such as more sustainable mobility and reduced pollution. However, they also highlight knowledge gaps and a lack of co-ordination as challenges in integrating climate change in NUP.

Key findings

- Most NUPs address both climate resilience and the low-carbon transition: 54 out of 67 responding countries (81%) report addressing climate change, of which 52 NUPs address climate change via both mitigation and adaptation measures. This underscores the growing recognition that applying an urban lens to climate change is important. In addition, nearly two-thirds of the NUPs addressing climate change feature special measures to improve the resilience of vulnerable urban populations (31 out of 46 countries, 67%).
- Two categories of NUP predominate: those that comprehensively address climate change, and those that serve as a portal to other sectoral climate policies. NUPs in the former category tend to overlap with those in the latter, but usually contain in-depth plans, strategies and discussions on climate change and urban policy. NUPs in the latter category have a lighter focus on climate change and urban areas, and instead link to corresponding sectoral plans. This does not suggest that countries with the latter type do not factor comprehensive climate plans in urban considerations, but rather that these considerations are not always fully reflected in their NUPs, which can be a missed opportunity.
- Countries incorporate climate measures under the umbrella of traditional urban planning instruments in their NUPs for "quick wins". Changes to the built environment for low-carbon urban development are prominent in NUPs, with public and active transport identified in 48 NUPs (89%), compact development in 40 (74%) and more sustainable buildings in 37 (69%). Risk reduction is also common, with NUPs prioritising vulnerability and risk assessments (34 countries, 63%), adopting risk-sensitive land use policies (32 countries, 59%), and nearly half (25 countries, 46%) implementing biodiversity and eco-system approaches, thereby demonstrating the potential of nature-based solutions.
- Countries increasingly use NUPs to go beyond traditional urban policy by embedding less common climate considerations. Eleven NUPs (20%) link to efforts to improve the evidence base for climate action by developing local greenhouse gas emission inventories, and 10 (19%) link to carbon pricing and fiscal instruments to achieve climate objectives. Although such developments are not present in all NUPs, they indicate how NUPs guide non-traditional climate considerations in urban planning and pave the way for broader change.
- Countries use institutional and capacity building mechanisms to co-ordinate climate action in NUP but need improvement and attention to financing. More than half (30 countries, 55%) have institutional arrangements between the leading NUP ministry/agency and environment ministry, and 26 (47%) engage in knowledge exchanges and capacity building across these ministries. Fourteen countries (26%) provide financial incentives for investment in cities aligned with NUP objectives and only 5 (9%) develop mechanisms to track sub-national climate finance.
- Common obstacles to integrating climate in the NUP are a lack of expertise at the intersection of climate change and urban policy (39% of respondents), and limited co-ordination mechanisms between national and local levels on this subject (30%). Survey findings suggest the two challenges could be tackled at the same time.

Urgent need for climate action in cities

As the impacts of climate change worsen, cities have a role to drive and implement climate action. Sustainable Development Goal (SDG) 13, the Paris Climate Agreement, the New Urban Agenda (NUA) and the Sendai Framework embody global commitment to climate resilience and the low-carbon transition,

but the relative lack of attention to these agendas in national urban policy (NUP) reveals a need to integrate collective action across levels of government. (As Chapter 6 illustrates, 58 of 86 countries reported achieving the SDGs, 52 the NUA, 46 the Paris Agreement, and 29 the Sendai Framework.) This is an improvement from the first edition of the Global Monitoring of NUPs, which in 2018 revealed that out of 108 NUPs analysed, only 11 (10%) gave extensive attention to climate resilience and 28 (26%) to environmental sustainability.

Cities can reduce climate risks through adaptation and mitigation measures facilitated by an enabling framework such as NUP (Box 7.1). The well-documented risks and opportunities for transformative action posed by climate change in all countries, regions and cities underscore the case for countries to step up their efforts and adopt an integrated approach to climate challenges in their NUP. This chapter analyses how NUPs around the world integrate climate change in urban areas, by promoting a low-carbon transition ("mitigation") and strengthening climate resilience ("adaptation").

The Intergovernmental Panel on Climate Change (IPCC) special report, *Global Warming of 1.5°C*, shows the importance of reaching net-zero emissions by 2050 (Bazaz et al., 2018[1]). Achieving climate-safe urban development will require decision-makers to factor emission reductions and climate resilience into all aspects of urban policy and planning – a daunting task. However, climate-compatible urban development can enable governments to achieve other development goals, such as higher economic productivity, better public health and improved local environments, while failing to address climate change will jeopardise prospects of sustainable, inclusive urban development. A key opportunity lies in developing urban green growth policies, which pursue synergies instead of trade-offs between economic prosperity and environmental sustainability in cities (OECD, 2013[2]; OECD, 2016[3]).

Box 7.1. Enhancing cities' potential for climate action through NUP

Analysis by the Stockholm Environment Institute for the Coalition for Urban Transitions found that, without further action to tackle climate change, greenhouse gas emissions attributable to urban buildings, transport and waste could reach 17.3 billion tonnes of carbon dioxide equivalent (tCO_2-e) in 2050 – 24% higher than in 2015, when the Paris Agreement was signed. Urban emissions would be even higher if industry and other sectors were included.

It is possible to reduce urban emissions from the selected sectors to 1.8 billion tCO_2-e by 2050 using technically feasible, widely available low-carbon measures. These savings amount to 58% of the global energy-related emission reductions needed to realise the International Energy Agency's 2°C pathway. However, over half of urban abatement potential is in cities with populations of less than 750 000 (as of 2015), which often lack the financial and technical resources of their larger counterparts. Even for cities with sufficient capacity, taking aggressive unilateral efforts to reduce emissions may be untenable if their economic peers fail to act. National support and standards are most important for these cities.

The analysis in *Climate Emergency, Urban Opportunity* found that few low-carbon measures fall exclusively within the sphere of local government influence. National and state governments typically have primary authority over two-thirds of urban abatement potential. The importance of local action and multi-level governance becomes more apparent when excluding electricity decarbonisation from the analysis. In this case, national and regional governments influence 35% of urban abatement potential, while local governments are primarily accountable for 28%. For the remaining 37% of urban abatement potential, responsibilities vary and require collaborative climate action among tiers of government. The nature of such varies by country and policy area.

Embedding climate measures in a framework such as NUP guides climate action in cities across a country enhances national and sub-national governments' ambition, and unlocks cities' actions to reduce greenhouse gas emissions and their exposure to climate risks. The transition to low-carbon,

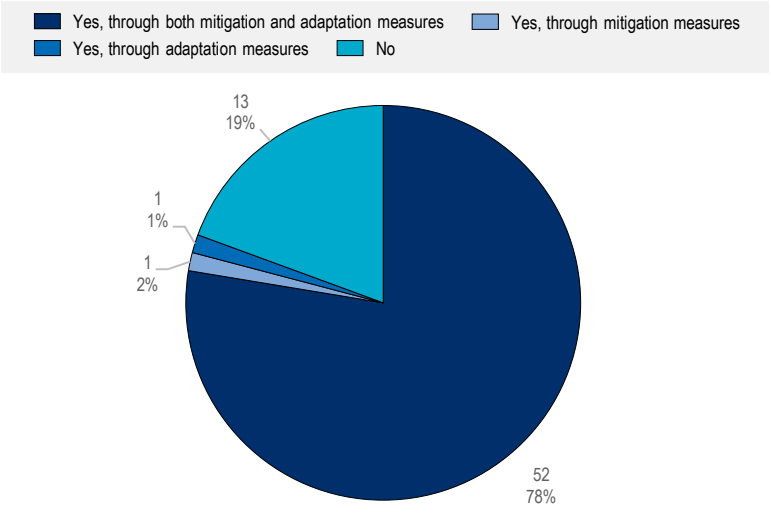
climate-resilient cities cannot be devolved solely to municipal authorities. It requires meaningful partnerships among tiers of government. NUPs can support this transition since NUPs cover a range of policy areas with a profound effect on climate policy goals and wellbeing benefits such as economic development, land-use, housing, transport, labour and health.

Source: Coalition for Urban Transitions (2019), *Climate Emergency, Urban Opportunity*, https://urbantransitions.global/urban-opportunity/.

Traction for climate resilience and the low-carbon transition

Climate resilience and the low-carbon transition gained traction as themes embraced by NUPs. Out of 67 responding countries, 54 (81%) report that their country's NUP addresses climate change (Figure 7.1). Importantly, all but two of the NUPs that address climate change did so via both mitigation and adaptation measures. **Russia** reports that its NUP only addresses mitigation, and **Slovakia** reports that its NUP only addresses adaptation. Thirteen NUPs (19%) do not address either climate mitigation or adaptation.

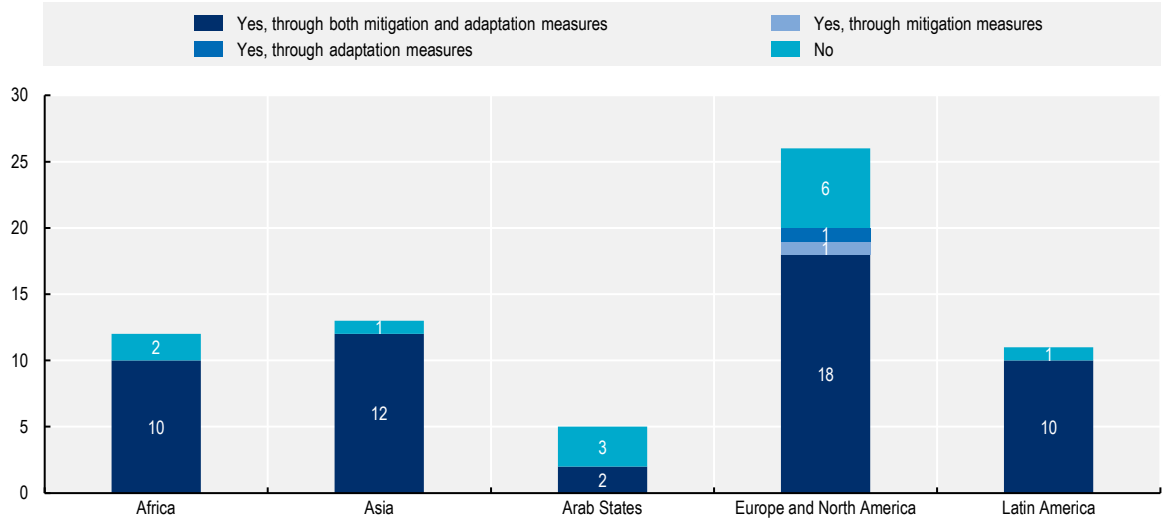
Figure 7.1. Number of NUPs that explicitly address climate change, n = 67



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. The survey included three options for "Yes": (1) "Yes, through both mitigation and adaptation measures; (2) "Yes, through mitigation measures"; (3) "Yes, through adaptation measures".

Looking at five global regions, the share of NUPs addressing climate change is the highest in Asia and the Pacific (12 of 13 countries, or 92%), followed by Latin America and the Caribbean (10 of 11, or 91%) and Africa (10 of 12, or 83%). The share is slightly lower in Europe and North America (20 of 26, or 77%). However, three European countries (**Austria**, **Estonia** and **Latvia**) note that, although their NUPs do not address climate change, other national-level documents address the intersection of climate change and urban areas. Only two of five countries (40%) report that their NUPs address climate change.

Figure 7.2. Number of NUPs addressing climate change, by region, n = 67



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020

Costa Rica's *National Urban Development Policy 2018–2030* and corresponding *Action Plan 2018–2022* feature "effective and efficient urban planning" as the first core pillar, focused on the importance of considering climate change and other environmental factors in a cross-sectoral way, specifically through three strategic areas: (1) incorporating a range of environmental considerations in urban and territorial planning instruments; (2) improving the adaptation capacity of urban infrastructure to mitigate natural risks and threats such as those tied to climate change; and (3) promoting the construction and operation of urban buildings and infrastructure with a positive net effect on natural and urban environments. Among other measures, the NUP seeks to prioritise the implementation of low-emission public transport to reduce private vehicle use, to enhance the treatment of organic solid waste to reduce methane emissions, and to promote sustainable and bioclimatic construction that makes use of natural lighting and ventilation to reduce both energy consumption and the need for air conditioning. In addition, an action underpinning the third strategic area was developing a National Climate Change Adaptation Policy and Plan, adopted in April 2018 to cover 2018-30, which seeks to bolster the resilience of human and natural systems in urban and territorial planning priorities. In this way, Costa Rica seeks to ensure low-carbon and carbon-resilient urban infrastructure through co-ordinated multi-sectoral planning.

Turkey's Ministry of Environment and Urban Planning oversees for both urban development and climate change. Turkey's Integrated Urban Development Strategy and Action Plan 2010–2023 (KENTGES) includes climate change mitigation and adaptation measures, such as building efficiency, sustainable transport, and water and waste management. The survey reports that the largely sectoral approach of KENTGES is expected to be complemented by a National Spatial Strategy Plan that should have a climate and urban aspects, thus addressing challenges related to co-ordinating and distributing spatial planning responsibilities. In developing its National Spatial Strategy Plan, **Turkey** could look to the case of the **Netherlands** for inspiration (Box 7.2).

Box 7.2. The Netherlands' Draft National Strategy on Spatial Planning and the Environment

Dutch cities face serious risks from climate change. Over 6 million people, 77% of the country's urban population, live less than ten metres above sea level. However, the Netherlands has invested strategically in water management for centuries, so residents today benefit from a sophisticated infrastructure of flood defences and dykes. The 2019 *Draft National Strategy on Spatial Planning and the Environment (NOVI)* highlights the importance of a climate-resilient, water-robust built environment, accompanied by sufficient, open, green and blue infrastructure to mitigate heat stress and store water. Maintaining such open space demands densification of housing and employment within existing city boundaries. The Dutch strategy applies a spatial lens to its economic, social and environmental goals.

The strategy developed by the Netherlands pays close attention to the different needs and priorities of urban and rural areas, as well as the demands and preferences of different groups within those communities. The report explicitly states: "Not everyone shares the same ideals. Some people feel at home in a dynamic metropolis while others prefer to live in a far more rural setting. These diverging wishes mean that we must reach consensus on the choices we make and must be very deliberate in structuring our country", (Ministry of the Interior and Kingdom Relations of the Netherlands, 2019, p. 18[4]). The strategy further differentiates Dutch regions by their energy intensity, economic structure and connectivity to local and global markets. This analysis underscores different opportunities in a low-carbon transition, particularly the scope to generate renewable power and adopt different transport modes.

NOVI proposes that the regional level is the most relevant scale for shaping the built environment in an integrated way. Accordingly, provinces and municipalities are empowered to make these decisions, although water management is tasked to separate water authorities. The national government is tasked with supporting locally led efforts through funding, knowledge development and maintaining buildings and connective infrastructure. The Ministry of the Interior and Kingdom Relations has overarching responsibility for monitoring progress towards implementation, and the relevance and effectiveness of the strategy.

Source: OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020; Ministry of the Interior and Kingdom Relations of the Netherlands(2019), *Draft National Strategy on Spatial Planning and the Environment*; Coalition for Urban Transition (2019), *The urban opportunity, https://urbantransitions.global/urban-opportunity/.*

Countries do not always address climate change in-depth in NUP and may instead have detailed sectoral plans – a nuance in the survey results regarding the extent to which NUPs account for climate change. Certain countries state that their NUP does not address climate change because it is included in other policy frameworks. For example, while the NUP of **Austria** does not address climate change, the issue is addressed through the National Spatial Planning Strategy (ÖREK 2011). **Colombia**'s Law no. 1931 recognises the role of cities in climate action and was introduced in 2018 to manage the national response to climate change, while the country's NUP also addresses climate change (Box 7.3). **Viet Nam** puts green growth at the core of its national development agenda, although it does not specify NUP coverage of climate issues. Its National Green Growth Strategy (2012) and National Green Growth Action Plan (2014) both speak to sustainable urbanisation. However, as of 2018, these environmental goals were not captured in the NUP (OECD, 2018[5]). The NUP could help unlock economic returns – including job creation potential, and the public health benefits associated with decentralised renewable technologies, energy efficiency measures and solid waste management – by providing a guiding framework.

Instead of detailing climate issues in their NUPs, certain countries describe and link to other stand-alone sectoral plans that focus on climate and urban areas. This approach effectively leverages the NUP as a

"portal" to other policies and enabling framework to facilitate co-ordination between other ministries and strategies to scale up local action. Therefore, the fact that a country does not provide a comprehensive overview of climate mitigation and adaptation in its NUP does not mean that the country is lagging, since it may well have effective strategies in other policies. However, a missed opportunity emerges where NUPs make no reference to existing sectoral plans on climate change and urban planning, since the NUP serves to improve co-ordination between such plans by embedding them in an enabling framework.

Box 7.3. Colombia's Law no. 1931 establishing guidelines for the management of climate change

In 2018, the Government of Colombia passed Law no. 1931 to establish guidelines for the management of climate change. This law intends to consolidate and harmonise policies, processes, institutions, strategies and mechanisms that were previously used to encourage action concerning climate change.

Law 1931 recognises the importance of cities as sites for climate action, both because they generate a large share of transport and waste emissions and because of the concentration of households at risk from floods, droughts and rising sea levels. Law 1931 commits the National Climate Change Policy to pursue low-carbon and climate-resilient urban development through eight lines of action:

- Provide cities with urban infrastructure resilient to floods or rising sea levels.
- Reduce the climate risk of water shortages in the city.
- Provide efficient public transport alternatives.
- Encourage the constant reduction in solid and liquid waste generation.
- Encourage residential and non-residential energy efficiency.
- Reduce flood exposure and transport emissions through controlled expansion of cities.
- Promote the conservation of the main ecosystem.
- Generate scientific knowledge to quantify CO_2 capture.

The Ministry of the Environment and Sustainable Development heads the National Climate Change Policy and draws on the Ministry of Housing, City and Territory; the Ministry of Transport; and the Ministry of Mines and Energy. Each of these is expected to develop Comprehensive Management Plans for Sectoral Climate Change, defining specific measures needed to deliver the eight actions. Although governance is primarily sectoral, Colombian municipalities are encouraged to apply a spatial lens by identifying areas of the city where development of human settlements is not viable and directing urban expansion towards places that do not put either urban residents or ecosystems at risk.

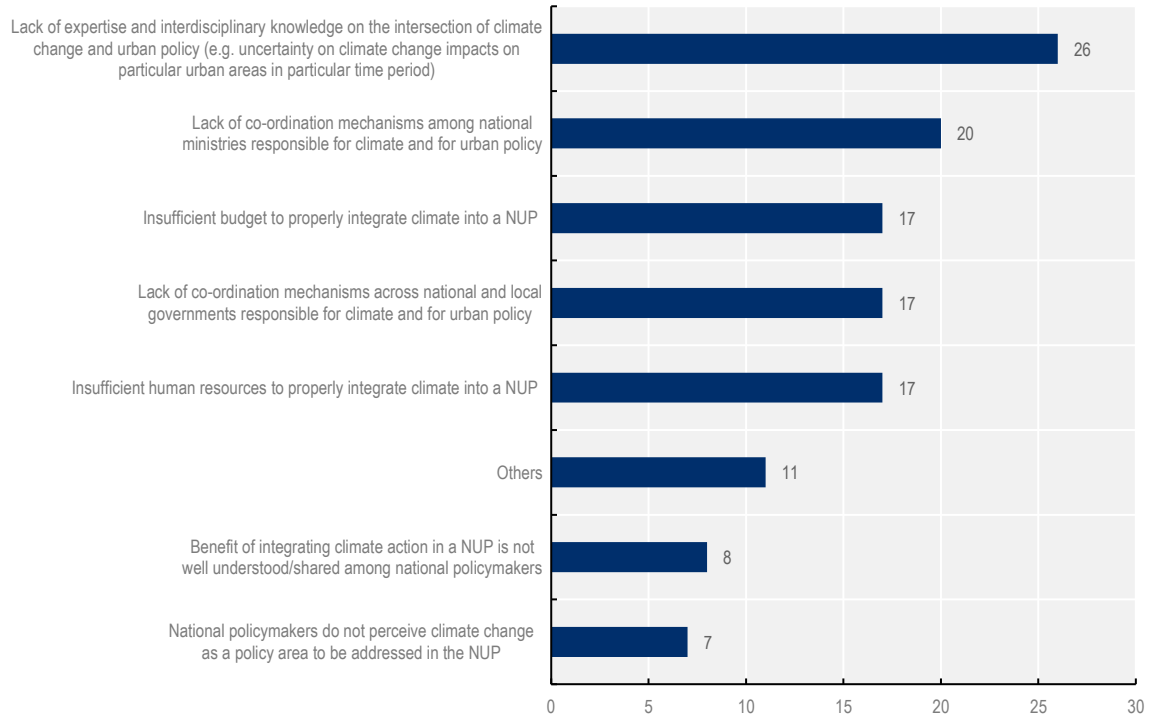
Note: figures draw from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Expertise and co-ordination to integrate climate change and urban policy

The main challenge highlighted by the survey to integrating climate change in NUP is "the lack of expertise and interdisciplinary knowledge on the intersection of climate change and urban policy" (25 of 67 responding countries, or 37%) (Figure 7.3). This indicates the need for greater support in terms of technical capacity and knowledge in this field. A synergistic second challenge is the "lack of co-ordination mechanisms across national and local governments responsible for climate action and urban policy" (20 countries, 30%). In **New Zealand**, the National Climate Change Risk Assessment provides an overview of the risks associated with climate change and trends in emissions, but the country has limited insight into the intersection of climate change and cities, such as the degree to which urban systems

generate emissions and could contribute to mitigation efforts. In **Portugal**, the national government does not sponsor local governments to undertake mitigation plans, which proves an obstacle to implementing coherent low-carbon territorial plans. The lack of expertise, data and interdisciplinary knowledge may reflect that government officials do not systematically work together across sectoral siloes. It is thus not surprising that 12 countries, including **Brazil**, **Italy**, **Korea**, **Lebanon**, **Malawi** and **Mexico**, also identify the two as the highest-ranking challenges.

Figure 7.3. Challenges to integrating climate change in NUPs, n = 67



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Governance arrangements that facilitate co-production of evidence and cross-fertilisation of ideas across ministries may help to overcome the biggest barriers to creating climate-sensitive NUP. **Tanzania**'s Urban Laboratory (TULab) provides one such example. Over two years, TULab regularly convened Tanzanian urbanists from national ministries, local governments, state-owned enterprises, academia, civil society and the private sector. These stakeholders commissioned, deliberated and published four background papers documenting challenges and opportunities for Tanzanian cities, including low-carbon development paths and emerging climate hazards (TULab, 2019[6]). This body of evidence now informs the development of Tanzania's National Urban Policy. **New Zealand** established a co-ordination mechanism for its NUP through a cross-agency working group between the Ministry for Environment and the Ministry for Housing and Urban Development. While the working group does not yet focus on the interaction between climate change and urban matters, it marks an instance of planned co-ordination (New Zealand's NUP is in the diagnosis stage). In addition, if the working group focuses explicitly on the intersection of climate change and urban policy, this could serve to bridge the climate-urban expertise and knowledge gap signalled by New Zealand.

One of the lowest-ranking challenges, "the benefit of integrating climate action in a NUP is not well understood/shared among national policymakers" (8 countries, 12%), may indicate increasing recognition of the need for an integrated approach to climate change in NUP. Similarly, the lowest ranking challenge,

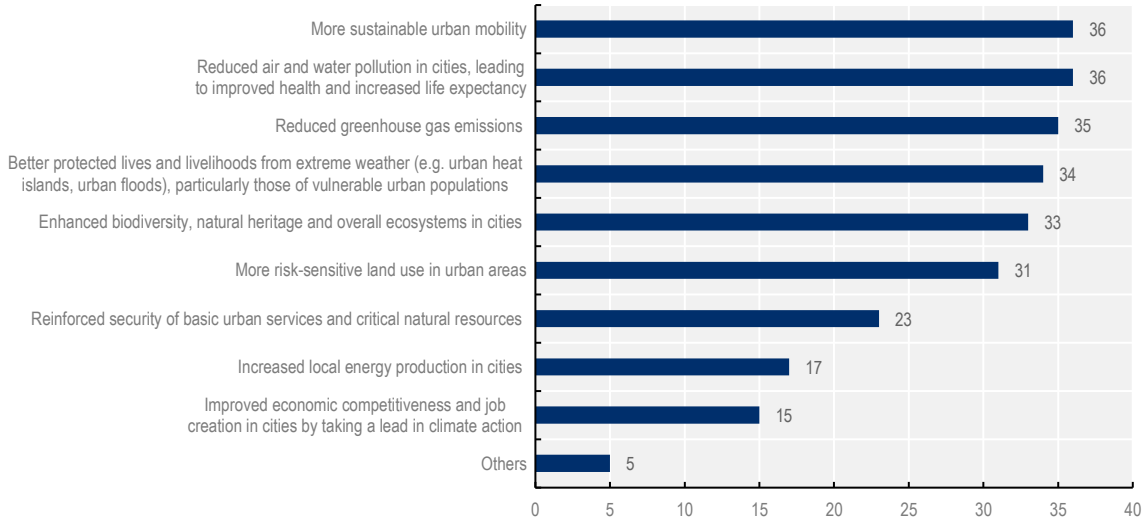
"national policymakers do not perceive climate change as a policy area to be addressed in the NUP" (7 countries, 10%) would indicate that NUPs are acknowledged at the national level as effective and relevant policy frameworks to guide and implement climate action.

In total, 30 countries identify multiple obstacles to integrating climate change into NUP, while 11 countries identify only one. Among these 11 countries, **Bolivia** and **Estonia** indicate that national policymakers either do not understand or agree on the potential benefits of integrating climate action into their NUP, although **Estonia** indicates that this issue was largely resolved since its NUP was drawn up in 2014. **Cuba**, **Japan** and **Slovakia** identify insufficient budget to integrate climate issues into their NUPs as the sole obstacle, while **Guatemala** and **Serbia** emphasise the challenge of co-ordinating relevant national ministries. **France, Ireland** and **Romania** report the lack of expertise and interdisciplinary knowledge at the intersection of climate change and urban policy as an issue. While pointing out the same challenge, **Chile** addresses it by forming a "City and Climate Change" working group with participation by academia to develop policy recommendations.

Recognising benefits from mainstreaming climate action

In their objectives for mainstreaming climate action in NUP, countries identify that urban climate interventions generate multiple, related benefits (Figure 7.4). Out of 54 countries that report their NUP addresses climate change, 36 (67%) identify "more sustainable mobility" and "reduced pollution", and 35 (65%) identify "reduced greenhouse gas emissions" as objectives for their NUP, reflecting clear recognition that low-carbon transport measures can achieve health and well-being benefits in cities through improved air quality. Thirty-four countries (63%) identify "better protected lives and livelihoods from extreme weather" and 33 (61%) identify "enhanced urban biodiversity and ecosystems" as objectives, underscoring the potential for nature-based solutions to improve wellbeing, deliver wider ecosystem services and protect against extreme heat or flooding. Similarly, 31 countries (57%) identified "more risk-sensitive land use" as an objective, reflecting the economic and spatial synergies of urban resilience measures.

Figure 7.4. Key objectives of mainstreaming climate action in NUP, n = 54



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Underscoring the emphasis placed on addressing adaptation and mitigation together, 34 and 35 countries respectively identify "better protected lives and livelihoods from extreme weather" and "reducing greenhouse gas emissions" For example, connected with **Israel**'s NUP is the inter-ministerial plan *Israel 2050: Thriving Economy in a Sustainable Environment*, which has indicators, roadmaps and policies to promote energy efficiency in buildings; increase minimum density requirements and mixed-use, transit-oriented development (including urban regeneration); and deliver greater urban tree canopy coverage, supported by a dedicated manual for planting shade trees in urban areas. A related policy to enhance water runoff management in urban areas is promoted simultaneously. "Enhancing biodiversity, natural heritage and ecosystem services in cities" and "more risk-sensitive land use in urban areas" also featured as a key objective for 33 and 31 countries respectively, hinting at the potential to combine the implementation of nature-based solutions with risk-sensitive land-use planning to enhance resilience and deliver numerous benefits.

Only 17 respondents indicate "increased local energy production in cities" as an objective, which may reflect the perception of limited potential to generate energy within a city's boundaries (e.g. through rooftop solar) or that it may be difficult to implement such measures on a wide scale. **Panama** identifies local energy production as an objective, highlighting that doing so would reduce energy costs, which are high in the country, as well as emissions. **Israel**, **Rwanda** and **Senegal** highlight local energy production from renewable sources as an opportunity, as do **Colombia** and **Portugal** who also link to wider efforts to improve energy demand management, notably in buildings. It is striking that only 15 national governments regard "improved economic competitiveness and job creation" as a reason to integrate climate change into national urban policies, despite growing evidence of the potential productivity and efficiency advantages for growth and employment associated with lower-carbon, climate-resilient urban development.

Analysis by five global regions indicates that objectives of mainstreaming climate action in NUP reflect each region's urgent urban challenges (Table 7.1). For example, "sustainable mobility" is particularly relevant to countries in Europe and North America, noted by 16 out of 20 countries (80%), whereas "reduced air and water pollution in cities" ranks higher for countries in Latin America and the Caribbean (80%) and Asia and the Pacific (75%). Six of 10 countries (60%) in Africa, the highest share across the regions, consider "improved economic competitiveness and job creation in cities" as an objective.

Table 7.1. Key objectives of mainstreaming climate action in NUP, by region, n = 54

Number of respondents and relative regional share for each option

	Africa (n = 10)	Asia and the Pacific (n = 12)	Arab States (n = 2)	Europe and North America (n = 20)	Latin America and the Caribbean (n = 10)
Improved economic competitiveness and job creation in cities by taking a lead in climate action	6 (60%)	1 (8%)	1 (50%)	4 (20%)	3 (30%)
Increased local energy production in cities	4 (40%)	4 (33%)	0 (0%)	6 (30%)	2 (20%)
Reinforced security of basic urban services and critical natural resources	5 (50%)	5 (42%)	1 (50%)	8 (40%)	3 (30%)
More risk-sensitive land use in urban areas	4 (40%)	7 (58%)	1 (50%)	10 (50%)	8 (80%)
Enhanced biodiversity, natural heritage & overall ecosystems in cities	6 (60%)	7 (58%)	2 (100%)	13 (65%)	5 (50%)
Reduced greenhouse gas emissions	4 (40%)	8 (67%)	2 (100%)	15 (75%)	5 (50%)
Better protected lives and livelihoods from extreme weather, particularly those of vulnerable urban populations	6 (60%)	6 (50%)	2 (100%)	11 (55%)	8 (80%)

Reduced air and water pollution in cities, leading to improved health and increased life expectancy	5 (50%)	9 (75%)	1 (50%)	11 (55%)	8 (80%)
More sustainable urban mobility	4 (40%)	8 (67%)	0 (0%)	16 (80%)	6 (60%)
Others	2 (20%)	1 (8%)	0 (0%)	2 (10%)	0 (0%)

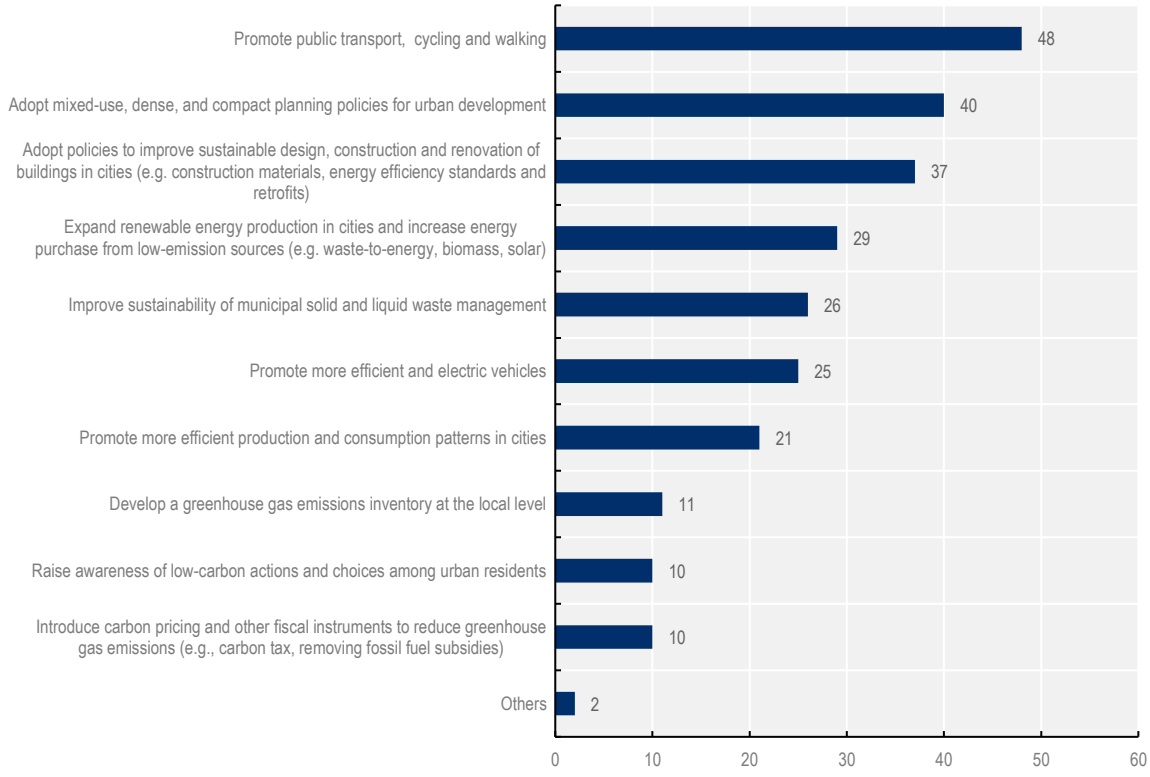
Note: Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. Country respondents could select multiple options.

Delivering mitigation targets through traditional and new approaches

In terms of urban low-carbon transition/mitigation actions that addressed in countries' NUP, changes to the built environment are clear priorities for lower-carbon urban development (Figure 7.5). Mode shift to public and active transport appears in the NUP of 48 countries, mixed land use and compact development in 40 countries, and more sustainable buildings in 37 countries. **Chile**, **Colombia**, **Israel** and **Portugal** point to measures across cities to improve public transport (e.g. bus fleets) and bicycle infrastructure, while countries such as **France** and the **Netherlands** also set objectives to prioritise compact cities (e.g. minimum density standards) and limit urban sprawl. Technological shifts are a common strategy, with 29 NUPs including "expansion of urban renewable energy generation or procurement of energy from cleaner sources". Twenty-six NUPs seek to improve the "sustainability of solid and liquid waste management", and 25 aim to pursue "more efficient and electric vehicles".

NUPs are also used beyond traditional urban policy to embed innovative climate considerations that are not yet widespread. Eleven countries (e.g. **Colombia**, **Korea**, **Poland** and **Serbia**) are looking to improve their evidence base by supporting the development of local greenhouse gas emission inventories. Ten countries (e.g. **Ecuador**, **Finland**, **Italy** and **Senegal**) report addressing carbon pricing and fiscal instruments – essential means of reducing greenhouse gas emissions (Box 7.4) – in their NUPs to achieve climate objectives. While such developments are not uniform and account for a limited share of NUPs, they indicate how NUPs guide non-traditional climate considerations and set the path for broader change.

Figure 7.5 Urban low-carbon transition/mitigation actions addressed by NUPs, n = 54



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Ten NUPs, including those of **Costa Rica**, **Croatia**, **Nigeria**, **Panama** and the **Philippines**, attempt to instigate behavioural change by raising awareness. The relatively low reported share of awareness raising may be because governments pursue such efforts in stand-alone policies not yet embedded in their NUP, marking a missed opportunity. The absence could also signal governments' reluctance to call upon their own citizens to take climate action, perhaps because this may be perceived as either too intrusive or not having a large enough impact to warrant such a request.

In 2014, **France**'s National Urban Renewal Agency (ANRU) launched the New National Programme for Urban Renewal. The programme, which will run until 2030 with EUR 10 billion grant-equivalent, aims to transform over 450 priority urban neighbourhoods (3 million inhabitants) based on objectives such as boosting energy efficiency in buildings and fostering access to services (alternative mobility options, education, healthcare). The programme features citizen councils involved in the design, implementation and evaluation stages of project development. As part of this programme, ANRU brings together a network of private investors and other stakeholders involved in innovation, in a body called the Club ANRU+, launched in 2017. Club ANRU+ invested EUR 50 million to stimulate innovation and mobilise investment in 70 urban renewal territories. The programme directly supports local initiatives spanning urban agriculture, digital technology, town planning, energy performance, sustainable mobility, participatory decision-making and housing. These projects enhance the attractiveness, social diversity and functional mix of communities, drawing major investors such as real estate operations. The programme also supports learning across different neighbourhoods and actors, enabling scaling a range of low-carbon and other measures.

In **Mexico**, local governments are in charge of preparing Municipal Urban Development Programmes. These craft a vision for the future of the municipality, taking into account general urban trends and a wide

range of data. The programmes often have an ecological aspect. In Piedras Negras, Coahuila, for example, the Master Plan encourages infill development and preserves areas of particular ecological significance to enhance climate mitigation and adaptation.

Box 7.4. Carbon pricing and fiscal instruments for climate action

The High-Level Commission on Carbon Prices chaired by Joseph Stiglitz and Nicholas Stern considers that carbon prices would need to be at least USD 40-80/tonne of CO_2 equivalent (tCO_2-e) by 2020, and USD 50-100/tCO_2-e by 2030, to be in line with the goals of the Paris Agreement. Yet most countries fall short of this target: fewer than 5% of GHG emissions covered by a carbon price are within this range (World Bank, 2020[7]). Effective carbon taxes – the sum of explicit carbon taxes and fuel excise taxes – among 44 countries (36 OECD countries and 12 partner economies) currently fail to provide broad-based carbon price signals: 82% of non-road emissions are entirely untaxed, and 97%of those taxed are at the low end of the carbon pricing threshold at less than EUR 30/ tCO_2-e (OECD, 2019[8]). Unsurprisingly, carbon prices reduce emissions. Countries that levy higher effective carbon taxes are also less carbon-intensive (OECD, 2019[8]). Without adequate carbon price signals, businesses and citizens lack economic incentives to modify behaviours or may lack awareness of the carbon footprint and societal cost associated with their activities.

National governments increasingly introduce carbon pricing and fiscal instruments – or authorise local governments to do so – that incentivise more sustainable urban development. As of 2020, 46 countries (and 32 sub-national jurisdictions) implemented a carbon pricing initiative, including emerging economies such as **Chile**, **China**, **Colombia**, **Mexico** and **South Africa** (World Bank, 2020[7]). For example, fuel taxes and vehicle excises are commonly adopted at the national level, disincentivising private vehicle use across the whole territory. Congestion charging, where polluting vehicles are charged a fee to circulate in certain areas, was adopted in cities in the **Czechia**, **Italy**, **Malta**, **Singapore**, **Sweden** and the **United Kingdom**. Even the design of instruments without a seemingly direct impact on emissions, such as property taxes and mortgage policies, has considerable impact on whether cities become sprawling, with large carbon footprints, or denser and spatially efficient (Moreno Monroy et al., 2020[9]). While carbon pricing and such instruments have profound effects on the carbon intensity of urban areas, they are not always considered in conjunction with national urban and climate policies as evidenced by the responses to this survey.

Source: OECD (2019), *Taxing Energy Use 2019: Using Taxes for Climate Action*; https://dx.doi.org/10.1787/058ca239-en. World Bank (2020), *State and Trends of Carbon Pricing 2020*, World Bank, Washington, DC, https://openknowledge.worldbank.org/handle/10986/33809; Moreno Monroy, A. et al. (2020), *Housing policies for sustainable and inclusive cities: How national governments can deliver affordable housing and compact urban development*, https://dx.doi.org/10.1787/d63e9434-en.

Reinforced climate resilience through risk reduction

Risk-sensitive measures feature prominently among the urban climate-adaptation actions addressed in countries' NUPs. The most common was to "conduct a comprehensive vulnerability and risk assessment focusing on urban areas (including mapping)" (34 countries, 63%) (Figure 7.6). This may reflect many countries' lack of evidence on current and projected localised climate risks needed to make informed urban policies and plans. It may also reflect the simultaneous opportunity to address other hazards and risks, such as natural disasters and service deficits. This adaptation action is followed closely by "adopting risk sensitive land use policies" (32 countries, 59%) and "implementing ecosystem-based approaches" (25 countries, 46%). These actions are complementary and low-cost, with evidence pointing to the role of

nature-based solutions in enhancing urban resilience while delivering social and health benefits (Bush and Doyon, 2019[10]), which might explain the appetite for these interventions.

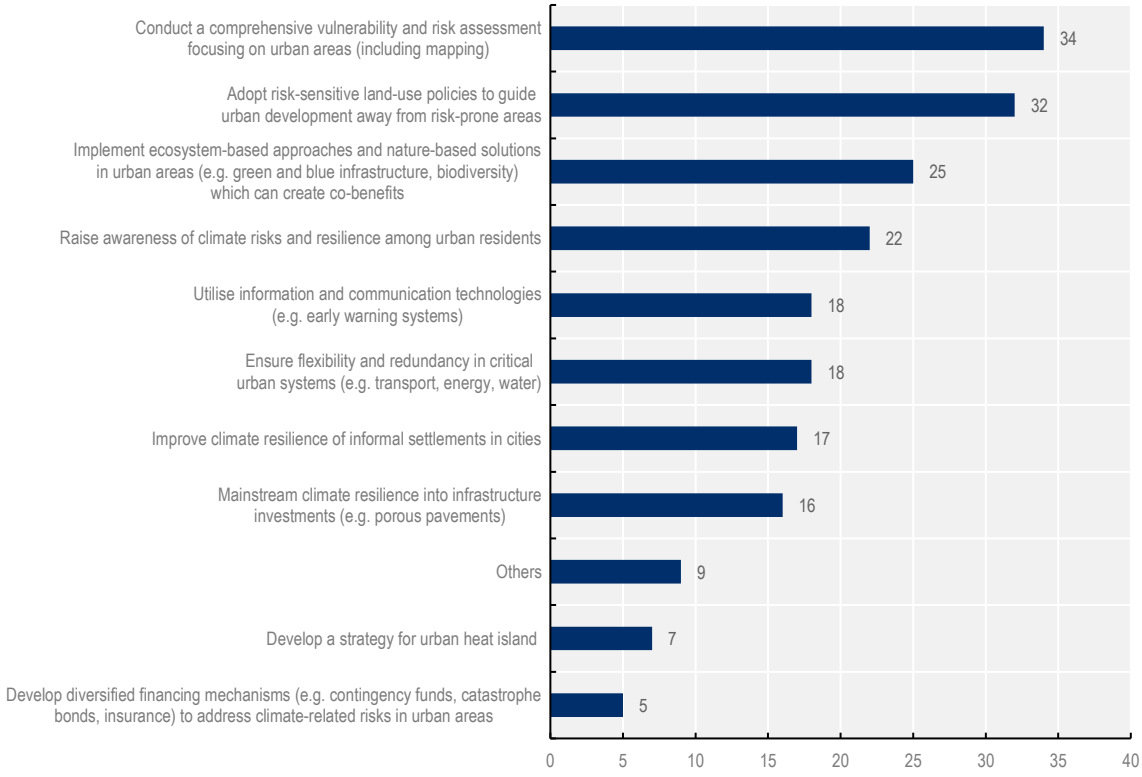
Mexico's NUP fosters comprehensive risk management, including land use and urban development instruments, building regulations, and the design of financial schemes, to define projects and actions focused on reducing vulnerability in urban areas. **Algeria** is adopting risk-sensitive land-use policies to ensure that urban development takes place outside hazardous areas, including the development of an eco-neighbourhood in Ghardaia, and Algiers' pilot Master Plan for Urban Resilience, expected to be replicated across other cities. **Serbia's** Sustainable Urban Development Strategy 2030 features climate change mitigation and adaptation as a cross-cutting topic and, recently, local government units elaborated local climate change adaptation plans (Bečej, Vrbas, Sombor, Ub, Belgrade, Kraljevo and Zrenjanin). **Nigeria's** 2012 NUP does not reflect the need for urban climate adaptation, but this is under consideration in the ongoing NUP review process. In the **Netherlands**, climate adaptation is not addressed in the NUP but in the long-standing Delta Programme, which rigorously addresses risk assessment.

The least common adaptation actions addressed in NUPs are to "develop diversified financing mechanisms to address climate-related risks in urban areas" (5 countries) and "develop a strategy for urban heat island" – strikingly low given the impacts of climate change on cities around the world, and the need for financing mechanisms to allow communities and businesses to recover from extreme events. Diversifying risk financing mechanisms before rather than after an extreme event occurs offers advantages relative to *ad hoc* financial support (OECD, 2018[11]). The NUPs of **Brazil**, **Costa Rica**, **Croatia**, **Panama**, **Portugal**, **Senegal** and **Spain** seek to address urban heat-island-related challenges, but these account for only 13% of the 53 responding countries. Not all cities in the world face urban heat island challenges to the same extent, which may account for the low overall share, but the gap is striking given the growing prevalence and impacts of urban heat islands. In addition, as 45% of NUPs seek to implement ecosystem or nature-based solutions, proven to alleviate extreme heat (Jamei and Tapper, 2019[12]), there is an opportunity for co-benefits from urban heat island strategies in NUPs, such as developing green/blue infrastructure in areas impacted by high temperatures or with a high share of vulnerable residents.

Similarly, only 16 countries report "mainstreaming climate resilience into infrastructure", despite its importance in mitigating risk. In **New Zealand**, the Government Policy Statement on Housing and Urban Development (the legislation providing for its NUP under development) details how Kāinga Ora–Homes and Communities (the government's lead developer) should recognise climate adaptation. **Thailand's** NUP development guideline calls for new infrastructure safety standards to be resilient to disasters.

The following countries indicate that their NUP addressed all or nearly all 10 climate adaptation actions (excluding "other"): **Panama** and **Senegal** (all 10 options), **Tanzania** (9), and **Cabo Verde**, **Costa Rica** and the **Philippines** (8). This may indicate that urban areas or an important share of urban residents in these countries are at particularly risk to a changing climate, or that these NUPs are particularly proactive on climate adaptation. **Korea**, **Spain** and **Turkey** identified seven options, and **Japan** and **Poland** six options.

Figure 7.6. Urban climate adaptation actions addressed by NUPs, n = 54



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Co-ordination mechanisms to embed climate action in NUP

Mechanisms need improvement and attention to financing

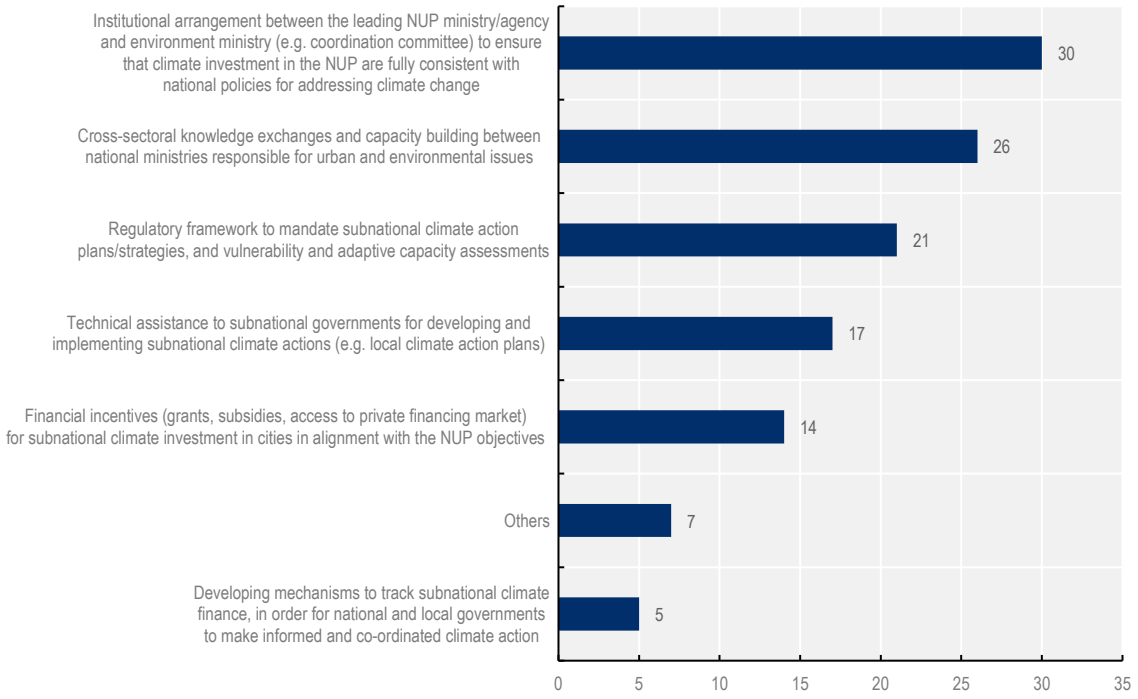
Countries use institutional and capacity building mechanisms to co-ordinate climate action in NUP but need improvement and attention to financing. Countries lack mechanisms to co-ordinate climate action in their NUPs: 30 of 54 countries with NUP addressing climate (55%) identified institutional arrangements between the leading NUP ministry/agency and environment ministry as a mechanism to co-ordinate climate action (Figure 7.7). This suggests room to increase the share of countries with a clear institutional arrangement between key ministries to co-ordinate climate action. **Zambia**, for instance, identifies four relevant institutions involved in formulating its NUP: the Zambia Environmental Agency, the Ministry of National Development Planning, the Ministry of Lands and Natural Resources and the Disaster Management and Mitigation Unit. Twenty-six of 54 countries (48%) confirm having cross-sectoral knowledge exchanges and capacity building across ministries responsible for urban and environmental issues, which signals room for improvement in this area. For example, in **Portugal**, the Environment Agency assembled several ministries to produce and monitor the National Climate Adaptation Strategy.

Many countries enable or require sub-national climate action in cities, but use different policy instruments: regulatory frameworks (21 countries, 39%), technical assistance (17 countries, 31%), financial incentives (14 countries, 26%). As an example of technical assistance, **Cuba** conducts workshops with planning specialists every year so that civil servants from a range of sectors become familiar with spatial aspects of reducing climate vulnerability (focusing on coastal settlements). It is worth noting that **Bulgaria**, **Costa Rica**, **Estonia** and **Sweden** do not detail these mechanisms in their NUP but in their climate policy frameworks, which often sit within different ministries. Co-ordination between these agencies is therefore

critical to ensure that urban and climate plans reinforce each other rather than create conflicting incentives or administrative burdens for sub-national governments.

The least common mechanism in NUPs was "developing mechanisms to track sub-national climate finance" (5 countries, 9%), in line with recent OECD work that confirms the limited data to track climate finance at the sub-national level (OECD, 2019[13]).

Figure 7.7. Mechanisms for co-ordination of climate action in NUPs, n = 54



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020.

Regulatory mechanisms commonly employed

The NUP survey asked respondents for examples of the mechanisms (e.g. regulatory, fiscal, information) used to implement climate action in their NUPs. Thirty-one respondents offered a range of examples, while two indicated no examples to share yet as the work is ongoing (**Brazil** and **Cabo Verde**).

Regulatory mechanisms seem to be the preferred instruments, with regulations, guidelines and strategies mentioned by most countries. In **France**, the National Urban Renewal Agency and the Environment and Energy Management Agency implement a partnership to factor urban sustainability paramteres into urban renewal projects for 2018–22 (Box 7.5). **Israel** instates regulations for all new construction to comply with the Green Building Code (effective March 2022), develops specifications and regulation for net-zero energy buildings where feasible, and updates the minimum density requirements laid out in the NUP. **Zambia** reports that the draft NUP includes activities to build the capacity of local authorities to enforce existing national-level environmental laws, formulate by-laws at local level, and establish fast-track courts for environmental offenders.

Six high- and upper-middle-income countries mention fiscal instruments: **Bulgaria**, **France**, **Israel**, **Netherlands, Serbia** and **Sweden**. Instruments include both grants and subsidies directly for climate action and infrastructure investments to enhance climate outcomes. Five countries identify technical assistance to or capacity building of sub-national governments, while four emphasise information

instruments. Finally, **Sweden** highlights the importance of institutional reforms to enable co-ordination across levels and sectors of government, with agreements between national and local governments.

Box 7.5. France's national co-ordination to embed sustainability factors in urban renewal projects

France's National Urban Renewal Agency (ANRU) and the Environment and Energy Management Agency (ADEME) implement a partnership to factor urban sustainability parameters into urban renewal projects for 2018-22. This partnership formalises the objectives and methods of co-operation between the two agencies – from implementation to monitoring and evaluation – in the areas of innovation and the ecological transition.

Three themes feature in an action plan renewed yearly:

- Linking neighbourhood-level environmental approaches with territorial strategy by factoring in "AEU2" (environmental approaches to urban planning), energy renovation of buildings, changes in transport and mobility, land use planning and urban form, environmental preservation and health (air quality, noise, soil and ecosystem management), and the circular economy.
- Within the context of the energy strategy, reducing residents' energy use by prioritising energy efficiency, improved energy storage and management, and on-site production and consumption of energy, accounting for expected future 2020 environmental regulations.
- Embedding innovation and experimentation through support for projects under the "future-oriented investment programmes" (*programmes d'investissements d'avenir*).

Source: (OECD/UN-Habitat/Cities Alliance, 2020[14]).

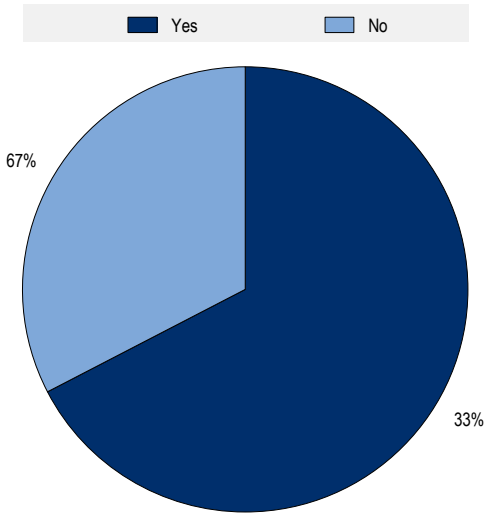
Improving the climate resilience of vulnerable urban populations

Thirty-one of 46 countries (67%) state that they ensure their NUP can improve the climate resilience of vulnerable urban populations (Figure 7.8). It is worth noting that 8 of the 15 countries who report 'no' are from **Europe and North America**. These countries might have (or at least perceive to) a lower share of vulnerable groups exposed to such risks, explaining why countries in the other regions pay more attention to this factor. Certain countries might have a greater share of vulnerable groups in cities or be more exposed to urban climate risks for a range of geographic, climatological and socio-economic factors, but all cities and countries have populations at risk, which they can support by scaling-up resilience measures through NUP frameworks. In short, all countries should aim to improve the climate resilience of vulnerable urban populations through NUP, regardless of the country context. While examples exist among NUPs, this remains an area where NUPs could include tailored measures for vulnerable groups, such as establishing stronger links to existing efforts in other sectoral plans.

Some countries emphasise planning and infrastructure to reduce exposure to environmental risks. **Israel**'s NUP emphasises the vulnerability of certain populations (such as children and the elderly) to air pollution, heat waves and other climate impacts, and emphasises the need to apply social considerations in public planning. **Rwanda**'s NUP seeks to enhance access to services and infrastructure for people living in informal settlements, upgrade their housing and services where possible, and facilitate relocation from hazardous locations. **Chile**'s NUP emphasises the risks of natural hazards faced by territories. It supports municipalities in collecting data on environmental threats and proposes to incorporate natural risks in territorial planning instruments.

Other countries focus on redressing the power imbalances that drive vulnerability, by creating space to hear low-income and other marginalised voices (Colenbrander, Dodman and Mitlin, 2017[15]). **Ecuador**, **Mexico** and **Senegal**'s NUPs emphasise participatory processes to enhance inclusion and address the drivers of vulnerability. **Costa Rica**'s NUP includes human rights and social inclusion components, which require local governments to treat and meet the needs of all citizens equally. **Cuba**'s NUP has similar mandates to reduce vulnerabilities. It is not clear whether these commitments are backed by commensurate budgets and capacities.

Figure 7.8. Number and share of NUPs incorporating special measures to improve resilience of vulnerable urban populations to climate change, n = 46



Note: Data are drawn from the OECD/UN-Habitat/Cities Alliance National Urban Policy Country Survey 2020. No information was available for eight countries of the 54 responding countries.

Ways forward

Fifty-four of 67 countries (81%) report that their NUP addresses climate change. Except **Slovakia**, whose NUP only addresses adaptation, and **Russia**, whose NUP only addresses mitigation, the other 52 NUPs all address climate change via both mitigation and adaptation measures. This highlights a common recognition of adopting integrated, non-siloed approaches to addressing climate change in NUPs, without prioritising climate mitigation at the expense of adaptation (or vice versa).

Based on qualitative responses to the survey, two categories of NUP emerge regarding climate change: (1) NUPs that comprehensively address climate change, and (2) NUPs that serve as a "portal" to other sectoral climate policies.

- NUPs in the first category typically provide in-depth plans and strategies, sometimes including targets or indicators, on the intersection of climate change and urban policy. They also often link to other stand-alone sectoral climate policies – fulfilling an objective of effective NUP – and thus overlap with the second category.
- NUPs in the second category focus less on climate change and instead link to corresponding stand-alone sectoral policies related to climate and urban policy. This approach remains effective since it leverages the role of NUP as a "portal" to other policies, enabling co-ordination between ministries and strategies to scale up action across many cities. In other words, just because a country does not provide an overview of climate mitigation and adaptation in its NUP does not mean it lags

behind, since it might have strategies in other policies. However, a missed opportunity emerges where NUP makes no reference to other sectoral plans on climate change and urban policy, since NUPs improve co-ordination by embedding such plans in an overarching framework. NUP bridges gaps and enhances co-ordination across specialised ministries and levels of government, especially on complex issues such as climate change that have not always been a consideration in urban development.

All countries that include climate change in their NUP are aware of local or global benefits, ranging from improved air and water quality, to enhanced mobility and greater economic competitiveness. This suggests that these benefits motivate including climate objectives in NUP. The most common obstacles to integrating climate change into NUP are a lack of expertise and co-ordination on the urban-climate nexus. Institutional platforms to pool evidence and identify actions that contribute to both development and climate goals will be important to both the political appetite for low-carbon, climate-resilient development and overcoming capacity gaps that hinder action. Countries at all levels of development – including **Ecuador**, **Japan**, **Sweden**, **Zambia** – identify institutional arrangements as critical to building knowledge and aligning urban climate actions.

Cases where NUP does not address climate change (13) may be attributable to several factors: (1) national governments might address climate change at the urban scale in policy frameworks not linked to their NUP; (2) national governments might not perceive added-value in integrating climate change with their NUP; (3) national governments might not address urban considerations in climate change due to a lack of co-ordination or knowledge of the importance of the issue; (4) national governments might be unaware of whether their NUP addresses climate change because it is not a prominent theme. Researching these and their implications in depth is urgent considering evidence on the role of NUPs in achieving the Paris Agreement and holding global warming well below 2°C (Box 7.1).

Several countries that responded to this survey – **Austria**, **Cuba**, **Portugal**, **Turkey** – emphasise applying a spatial lens to sectoral decision-making, enabling national governments to harness the proximity and density advantages associated with cities. These also pertain to the climate by reducing the per-capita cost of infrastructure to meet people's needs, including low-carbon options (such as mass transit and district heating or cooling) and infrastructure that reduces people's vulnerability to climate risks (such as sewers, piped water and reliable electricity). Spatially sensitive decision-making requires robust data and co-ordination at the local level, so it is little surprise that clear guidelines, technical assistance and fiscal support to municipal authorities are widely used to implement the climate elements of a NUP.

These insights suggest countries should **leverage the role of NUP as connector of urban and climate-related ministries**, through bridging knowledge gaps and enhancing inter-ministerial co-ordination to scale up climate action, and **embed more diverse and innovative environmental policy instruments in NUPs**, such as carbon pricing to reduce emissions, taking into account their distributional effects on vulnerable groups. More specifically:

- Countries should address climate change in their NUP and lay the foundation for urban resilience to prepare for and recover from crises, as with the COVID-19 pandemic. The country survey found that 31 of 84 NUPs (37%) do not address climate change. This indicates that greater efforts are needed, even if specific modalities differ. Addressing climate change and strengthening urban resilience through NUPs is even more important in the context of COVID-19, which fundamentally altered how cities operate and will develop for years to come, namely with the push to build greener, inclusive, and smart cities.
- NUPs and their implementation frameworks should bridge expertise, knowledge and co-ordination gaps on cities and climate change. Countries identify "the lack of expertise on the intersection of climate change and urban policy" and "limited co-ordination mechanisms between levels of government on this subject" as the two most common obstacles to integrating climate change in their NUP and scaling up low-carbon and resilient cities. The NUP processes should provide

opportunities to bridge such gaps and enhance co-ordination between lead NUP ministries and ministries in charge of climate change.

- Countries should redouble efforts to ensure their NUPs improve the resilience of vulnerable urban populations to the impacts of climate change. Sixty percent of NUPs that address climate change include measures to achieve this outcome in the NUP process, which is encouraging but not sufficient. All countries should aim to improve the climate resilience of vulnerable urban populations through their NUPs, regardless of country context.
- Countries should embed diverse and innovative approaches to urban climate action in their NUPs, to scale up action and bridge gaps. Given the potential of urban climate action, NUPs should actively accelerate climate measures – not only those traditionally within the remit of urban policy (e.g. public transport), but also innovative approaches, such as carbon pricing and other fiscal instruments to reduce emissions, which are less frequently reported.

Annex 7.A. Assessing how NUPs address climate change

This table provides qualitative information provided by countries on how their NUP addresses climate change via both mitigation and adaptation.

Annex Table 7.A.1. How NUPs address climate change

Country	Climate change considerations in national urban policy
Algeria	The national climate plan for 2020–30 was ratified by the government and is a practical tool for the implementation of national policy combatting the negative effects of climate change. The plan provides for 155 actions divided into mitigation, adaptation and governance across several areas.
Australia	Explicit Environment goals in the Smart Cities Plan (www.infrastructure.gov.au/cities/smart-cities/plan/index.aspx) and in individual City Deals (www.infrastructure.gov.au/cities/city-deals/index.aspx)
Azerbaijan	In its National Contributions to the United Nations Framework Convention on Climate Change, it aims to reduce greenhouse gas emission by 35% compared to 1990 as a contribution to global climate change prevention initiatives. • State programme on the Use of Alternative and Renewable Energy Sources (2004) • Azerbaijan 2020 Future Development Concept • On Reliable Food Supply of the Population in the Republic of Azerbaijan in 2008–15 • State Programme (2008–2015) • State Programme on Socio-Economic Development of Regions (2004, 2009, 2014) • State Programme on Poverty Reduction and Sustainable Development in the Republic of Azerbaijan for 2008–15 • Strategic Roadmap for the Production and Processing of Agricultural Products in the Republic of Azerbaijan (2016) • The National Coordinating Council for Sustainable Development (NCCSD) of Azerbaijan, established by Decree of the President of the Republic, dated 6 October 2016, to achieve the Sustainable Development Goals.
Brazil	The National Urban Development Policy is a relevant instrument for the climate change agenda in Brazil given its role in fostering actions at the local level. Municipalities in Brazil have constitutional competence over territorial organisation, and land use and occupation in their entire territory. The Master Plan, a basic instrument of urban policy, approved by municipal law, must regulate the urban and rural areas of the municipality, as provided by the City Statute. For this reason, there is great potential for the contribution of municipalities to mitigation actions alongside the adoption of more sustainable urban development standards, comprising a set of measures of territorial organisation and urban regulation, a matter also within municipal responsibility. In terms of adaptation, measures of territorial organisation and regulation of urban land use and occupation are extremely relevant, especially in relation to extreme events in vulnerable areas. One mechanism of the national policy is to promote climate change mitigation and adaptation measures through methodologies, technical recommendations and programmatic actions. Currently, cities are mentioned in some official Brazilian policies, programmes and documents on climate change with an emphasis on the National Policy on Climate Change, the National

Country	Climate change considerations in national urban policy
	Adaptation Plan and the National Communications and Biennial Update Reports of Brazil to the United Nations Framework Convention on Climate Change. Incorporating a climate change approach into the National Urban Development Policy is an important step towards the implementation of decentralised actions that contribute to the national agenda and its goals. Moreover, data and information relevant to urban development may be available on the SIRENE platforms – National Emissions Registration System, and Monitoring and Observation System for the Impacts of Climate Change (Impacta Clima) – both under the management of the Ministry of Science, Technology and Innovation (MCTI).
Bulgaria	The documents defining NUP at regional and local level (Integrated Territorial Strategies for Development of the NUTS 2 Regions, and the Integrated Municipal Development Plans) are elaborated in compliance with methodological guidelines for their preparation and implementation issued by the Minister of Regional Development and Public Works. According to the guidelines, there is a separate chapter in the strategic documents dedicated to climate change mitigation and adaptation measures.
Cabo Verde	One criteria for preventing climate change in PNOTU is to qualify informal settlements in three groups: (1) structured, (2) unstructured and (3) in a risk area. PNOTU also foresees the need for a Participatory and Sustainable Resettlement Plan for residents in areas at risk related to disasters or climate change and participatory methodologies, which use the knowledge of local communities. PNOTU also notes that cities and human settlements must adopt and implement systems for disaster risk management and reduction to strengthen their resilience and their capacity to respond to natural and human-made disasters, enabling mitigation and adaptation to climate change. In Cabo Verde, there is the National Strategy for Disaster Risk Reduction (ENRRD) which is the reference for initiatives in resilience at the national level. ENRRD addresses climate change in urban areas, but it has not yet been developed as a policy. This document presents measures to mitigate and adapt to the effects of climate change in the country and guides all actions within the scope of the commitments of the United Nations Framework Convention on Climate Change (UNFCCC), reaffirming the implementation of measures and programmes to stabilise greenhouse gas emissions. For effective integration of the adaptation measures proposed by ENRRD in the context of the preparation of the PDM, it is important to incorporate them into the legal framework of spatial planning and urbanism.
Chile	Climate change is covered as one of the five axes of the PNDU (the Environmental Balance).
Colombia	In 2018, the government adopted Law 1931 on guidelines for climate change management, which determined that the National Climate Change System would be the policies, regulations, processes, state and private entities, resources, plans, strategies, instruments, mechanisms, and information related to climate change. The law defines the instruments to adopt climate change adaptation and mitigation measures, both for the sectors that comprise the state, and for departmental and municipal authorities. One of the most relevant measures is that the ministries will be responsible for complying with Colombia's commitments to reduce greenhouse gas emissions. These measures and guidelines are implemented in the National Climate Change Policy combined with the Integrated Climate Change Management Plans, where ministries such as the Ministry of Housing, City and Territory define the goals and actions to be implemented in Colombian cities based on defined lines in the policy, which emphasises low-carbon and climate-resilient urban development. These work streams comprise lines of action such as: (1) providing cities with urban infrastructure that is resilient to flooding or sea level rise; (2) reducing climate risk due to city water shortages; (3) providing efficient public transport alternatives; (4) encouraging the continued reduction of solid and liquid waste generation; (5) encouraging residential and non-residential energy efficiency; (6) reducing exposure to flooding and transport emissions through controlled city expansion; (7) promoting the conservation of the main ecological structure; and (8) generating scientific knowledge to quantify CO_2 emissions sequestration.
Costa Rica	Axis 1 of the PNDU contains three strategic actions related to the environment and climate change: • III. Effectively and efficiently incorporate the environmental variable in urban planning and territorial planning instruments, according to the instrument's competence scale. • IV. Contemplate the improvement and gradual adaptation of the infrastructures to mitigate the natural risks and threats, particularly events produced by the effect of climate change. • V. Promote that construction and operation of buildings and infrastructure have positive net impacts on the environment and the urban environment. One specific action of this axis was to develop the National Climate Change Adaptation Policy and Plan; The National Climate Change Adaptation Policy 2018–2030 was issued in April 2018. (http://www.pgrweb.go.cr/DocsDescargar/Normas/No%20DE-41091/Version1/Politica_ADAPTACION_24_abril.pdf) There is a national Risk Management Policy that considers aspects related to the adaptation and mitigation of the effects that climate change produces.

Country	Climate change considerations in national urban policy
Cuba	One priority of the National Urban Polity is to strengthen sustainability and adaptive capacities in the territory and its inhabitants. Three strategies to achieve this are: • Improve the adaptive capacities of the territory to face the emergency of climate change and to reduce the vulnerability of society and ecosystems to its effects. • Promote the territorial policy of integral risk management, aimed at prevention, mitigation, adaptation and recovery of the territory and its inhabitants in the face of disturbing phenomena, which increases the adaptive capacities of society. • Strengthen inter-institutional and intersectoral co-ordination, to articulate planning policies and instruments with territorial impact, under a focus on sustainability and adaptive capacity development. NUP in Cuba considers the risks of Disasters and Climate Change and includes the Life Task, an ambitious State Plan confronting the issue of climate change, which includes adaptation and mitigation actions in Cuba. It considers, especially, the creation and conditioning of increasingly resilient human settlements.
France	• Article 1 of the Urban Programming and Cohesion Act of 24 February 2014 sets out an objective for urban policy aimed at "promoting the balanced development of territories, the sustainable city, the right to a healthy and high-quality environment, and the fight against energy poverty". • The new National Urban Renewal Programme (NPNRU) aims to reclassify priority neighbourhoods with the most significant urban dysfunctions. The general regulations of the National Urban Renewal Agency (ANRU) include "energy efficiency and ecological transition in neighbourhoods" among the essential objectives of the projects. A global environmental approach to urban renewal is expected to limit the consumption of resources (water, waste, etc.) and promote adaptation to climate change. The NPNRU, which covers the period 2014-2024, concerns 480 neighbourhoods and benefits from EUR 10 billion in financial aid. • The “future-oriented investment programme” (PIA) (Axis 1 of the action "Sustainable and inclusive city, environmental excellence of urban renewal") aims to support the deployment of urban and social innovation in neighbourhoods undergoing urban renewal, particularly regarding energy and environmental excellence. This programme has been allocated EUR 71 million in subsidies.
Ghana	1. Intensify public information and awareness campaigns on energy conservation, climate change and mitigation strategies. 2. Encourage progressive reduction of hazardous substances by industry. 3. Promote settlement structure plans designed to achieve a high level of amenities and the prevention of effluent and refuse pollution. 4. Promote and strengthen co-operation of adjoining MMDAs in collaboration with traditional authorities and other relevant stakeholders in management of water bodies and other natural resources. 5. Avoid coastal zone development which affects ecologically sensitive areas. 6. Impose and enforce more effective coastal zone and wetlands management regulations. 7. Strengthen the capacities of agencies charged with promoting environmental standards. 8. Generate public awareness on climate change and mitigation strategies through mass-media educational campaigns.
Guatemala	Spatial planning is defined as one of the main tools to address climate change.
Israel	Most efforts are currently paid to mitigation (through the “Israel 2050” project). However, adaptation is also addressed, mainly through initiatives to improve runoff management and to increase tree canopy coverage in urban areas. Israel intends to put greater focus on reducing the heat island affect, given scenarios that predict temperature rise in the Eastern Mediterranean (considered a global hotspot).

Country	Climate change considerations in national urban policy
Madagascar	A diagnosis of the vulnerability of cities to climate change exists. Climate change is one of the environmental challenges highlighted by the NUP (Politique Nationale de Développement Urbain – PNDU), and guideline examples were defined: • In urban planning, factor in the environmental dimension as well as the improvement of the quality of life and landscapes. • Integrate disaster risk reduction and adaptation to climate change into urban planning and development projects.
Malta	The SPED Policies for Climate Change (Thematic Objective 9): To control greenhouse gas emissions and enhance Malta's capacity to adapt to climate change by: 1. Supporting the implementation of Malta's Energy and Water Policies. 2. Supporting the implementation of the National Mitigation Strategy and National Adaptation Strategy. 3. Requiring the integration of small-scale renewable energy infrastructure into the design of buildings, particularly in public, industrial and commercial sectors. 4. Promoting renewable energy sources and zero carbon modes for transport. 5. Directing large scale solar farms to areas as identified in the proposed Solar Farm Planning Policy. 6. Promoting energy efficiency in the design of buildings. 7. Ensuring that development plans and proposals contribute to national targets for GHG reductions and mainstream climate change adaptation measures. 8. Directing development away from areas which are prone to significant risk of flooding except for interventions required to manage these areas. 9. Improving public/collective transport as a high priority adaptation measure for climate change.
Mexico	In the definition of objectives, strategies and lines of action of the Sectorial Programme for Agrarian, Territorial and Urban Development (PSDATU), some mitigation and adaptation actions are established: **Adaptation** • 1.2.2 Integrate policies and actions around climate change, comprehensive risk management and mobility in instruments of land use planning and urban development. • 2.1.2 With state and municipal governments, promote a strategy for comprehensive disaster risk management in agrarian territories. • 3.2.1 Promote the updating of construction regulations to promote risk prevention and promote mitigation and adaptation actions to climate change. • 3.2.5 Contribute to the fair relocation of the population living in risk areas. • 3.2.6 Promote financial and technical advice schemes for the preparation, implementation and integration of risk management in land use planning and urban development programmes. • 3.3.4 With the participation of state and municipal governments, academia and civil society, implement actions to rebuild infrastructure, services, amenities, and homes/dwellings affected by natural, climatic and anthropic phenomena. • 3.3.5 Promote subsidy and financing schemes to provide specialised technical advice to the population for adequate reconstruction of homes affected by disasters, to the cultural characteristics of each region. • 4.3.1 Link housing actions of state and municipal governments with regulatory frameworks for comprehensive risk management and climate change by harmonising laws and regulations for land use and urban development with the General Law of Human Settlements, Territorial Planning and Urban Development. • 4.3.2 Promote adaptive capacities and preparation for disturbing events in human settlements by designing strategies for adaptation to climate change and comprehensive risk management in a co-ordinated manner with states and municipalities. • 4.3.5 Promote actions, with municipal and state governments to reduce the vulnerability of the housing stock to natural and man-made phenomena through assisted housing improvement programmes.

Country	Climate change considerations in national urban policy
	Mitigation • 3.4.1 Promote the incorporation of mobility and connectivity actions in urban and metropolitan planning with a focus on sustainability, road safety and resilience. • 3.4.2 Co-ordinate multisectoral actions to guarantee sustainable mobility actions through the integration of roads, means of transport, routes and destinations, prioritising pedestrian and non-motorised mobility; obtain greater social, economic and environmental profitability, thereby benefiting most of the inhabitants and colonies (neighbourhoods) of human settlements.
Myanmar	In Myanmar's NUP, climate change is one of the policy's priority themes. Myanmar endeavours to go beyond zero-sum by pursuing actions that will upgrade the environment through enrichment of biodiversity, augmentation of biomass, enlargement of rainfall absorption capacity and hence enhancement of groundwater formation. The NUP aligns with existing policies and strategies such as the Myanmar Climate Change Policy, Myanmar Climate Change Strategies and Action Plan (MCCSAP) and the Myanmar Environment Policy. Urban climate resilience and the low-carbon transition can be enacted through the following policy interventions: • Compact high-density urban development, advocating infill on brownfield sites should be sought over outward extensions of urban settlements to reduce transportation needs and greenhouse gas emissions. • Institutionalise Strategic Environmental Assessments in spatial plan preparation. • Make Climate Change Resilience Audits mandatory for cities and towns, and prioritise municipal infrastructure planning with a clear view on adaption to climate change.
Nepal	Policies related to climate change are available and integrated in the draft NUP.
Netherlands	The Delta Programme is an example for for climate adaptation. Besides, climate adaptation and mitigation are mentioned as a main priority in the National Strategy on Spatial Planning and Environment.
New Zealand	Legislation providing for the Government Policy Statement on Housing and Urban Development specifically requires the inclusion of how the government expects Kāinga Ora–Homes and Communities (the government's lead developer) to recognise the need to mitigate and adapt to the effects of climate change. It will likely also be addressed in the vision/priorities section although this is not a requirement and is yet to be confirmed.
Nigeria	Chapter 20 of the current National Urban Development Policy (2012) focuses on climate change, including mitigation and adaptation strategies. This will be updated in line with current developments on climate change during the review process.
Panama	Panama's NUP addresses climate change through mitigation measures included in the environmental impact studies that are required by the Ministry of the Environment (MiAmbiente), and in compliance with the guidelines for the preparation and explanation for the incorporation of Integrated Disaster Risk Management and Adaptability to Climate Change in Panama's Land Management Plans and Land Management Schemes approved by the MIVIOT.
Philippines	The Philippines NUDHF ensures the mainstreaming of climate change considerations so that urban development contributes to GHG mitigation and improves and promotes adaptation to a changed climate and climate-related disasters.
Portugal	Several strategic guidelines directly or indirectly address climate change challenges and the subsequent response.
Rwanda	The national roadmap for green secondary cities was developed and aligned to the NUP. It provides strategies, guidelines and actions to be undertaken by the central and local government in pursuing green city development and climate resilient urbanisation. (https://gggi.org/report/24716/)
Saudi Arabia	Some technical analysis and research is available on climate change in urban areas, but not yet developed as urban policy.

Country	Climate change considerations in national urban policy
Serbia	Among 20 packages of measures in the Sustainable Urban Development Strategy of the Republic of Serbia 2030 are two sets of measures concerning climate change, one on mitigation and one on adaptation. Besides those measures, which are the framework topics to be further elaborated through activities (projects, regulations, institutional arrangements), there are priority areas, which can be settlements of parts of settlements, with environmental or climate change problems. In the Spatial Plan of the Republic of Serbia from 2010, some locations which are urban settlements or outside of settlements are identified as environmental hot spots with potentially the biggest impact on climate change.
Slovakia	Encourage urban authorities to adapt to the adverse impacts of climate change, and support inclusion of adaptation measures into urban planning.
Slovenia	The Strategy (NUP) states Goal 5: Resilience of space and additivity to changes, with Priority 12: Improvement of space resilience. In the Chapter 5, guidelines for achieving spatial development goals and carrying out the spatial development concept are guidelines for preserving and improving the recognisability of settlements and the landscape, and for a transition to a low-carbon society. http://www.meteo.si/uploads/probase/www/climate/text/en/publications/OPS21_brosura_ENG.pdf
Spain	The Urban Agenda has Strategic Objective 3 aimed at "prevention and reduction of climate change impacts and improvement of resilience in towns and cities".
Sweden	The NUP focuses on goals for sustainable cities and policies primarily for urban transport and green areas, as well as innovative and sustainable construction.
Thailand	Both mitigation and adaptation measures are developed as the part of NUP. Mitigation measures: Thailand addresses climate change through mitigation measures in the NUP as an indicator and development guideline. (NUP Indicator: Domestic climate change mitigation mechanisms are established to provide support in terms of finance, technology and capacity building.) Adaptation measures: In the development guideline for NUP, climate change adaptation is included by enhancing the capacity of R&D in science, technology and innovation (ST&I). Stimulate R&D in ST&I while applying local wisdom to offer the adaptive technology necessary for the agricultural sector. Provide supportive measures to assist vulnerable and high-risk populations with a low adaptive capacity. Plan to protect cities that might be affected by sea-level rise, extreme weather and seasonal variation. Design city or town plans based on information regarding climate risk assessment and analysis: formulate strategies or action plans for climate change adaptation at the country, sector, and local levels, with different degrees and specific types of climate risks. As a result, these strategies and plans will be more likely to be implemented on the ground.
Turkey	The preparation of regional and local climate adaptation plans are programmed and preparations are ongoing in the Ministry of Environment and Urbanisation, General Directorate of Environmental Inspection, where the UN Climate Summit ICLA and COP processes of UNFCCCs are headed. KENTGES has both climate change mitigation and adaptation measures at local level and links spatial development strategies with water management, risk management and integrated coastal areas management, bringing actions that support the climate change adaptation process. Within 10 years KENTGES increased the awareness of local administrations about energy efficiency in buildings, sustainable modes of transport, adaptation measures related to the urban infrastructure and waste management. Turkey's National Spatial Strategy Plan will have a climate change axis that cuts across sectoral policies; spatial strategies will be supported by the analysis and synthesis of preparations so far.
United Republic of Tanzania	Climate change in Tanzania is coordinated by the Vice President's Office with the Guidance from the National Environment Policy 1997 and the Environmental Management Act, 2004. These documents provide the Policy, Legal and Administrative Framework to address issues of climate change in the country. To narrow co-ordination of climate change issues in the country, the government prepared the Nation Adaptation Programme of Action (NAPA, 2007), National Climate Change Strategy, 2012, and the Guidelines for Mainstreaming Climate Change Adaptation and Mitigation in Sector Policies, Plans, Programmes and Budget. This being the case, the NUP needs to adhere to the existing Policy and Regulatory framework with regards to climate change adaptation and mitigation.

Country	Climate change considerations in national urban policy
Zambia	One of thematic pillar of the draft NUP is Resilient Human Settlements. Objectives under this pillar include: 1) To strengthen responsiveness to climate change in urban settlements and surrounding areas. 2) To promote disaster risk reduction in human settlements and surrounding areas. 3) To promote effective management of the environment. During the NUP formulation, government institutions dealing with climate change issues were consulted to ensure integration of climate change issues: 1) The Zambia Environmental Agency. 2) The Climate Change Secretariat under Ministry of National Development Planning developed guidelines and tools to screen policies and programmes for climate change resilience and to mainstream climate change issues. The Secretariat screened the draft NUP. 3) The Department of Climate Change under Ministry of Lands and Natural Resources. 4) The Disaster Management and Mitigation Unit.

Source: (OECD/UN-Habitat/Cities Alliance, 2020[14]).

References

Bazaz, A. et al. (2018), *Summary for Urban Policymakers: What the IPCC Special Report on Global Warming of 1.5°C Means for Cities*, Intergovernmental Panel on Climate Change, https://www.ipcc.ch/sr15/chapter/spm/. [1]

Bush, J. and A. Doyon (2019), "Building urban resilience with nature-based solutions: How can urban planning contribute?", *Cities*, Vol. 95, p. 102483, http://dx.doi.org/10.1016/j.cities.2019.102483. [10]

Coalition for Urban Transition (2019), *The Urban Opportunity*, https://urbantransitions.global/urban-opportunity/. [18]

Coalition for Urban Transitions (2019), *Climate Emergency, Urban Opportunity*, https://urbantransitions.global/urban-opportunity/. [16]

Colenbrander, S., D. Dodman and D. Mitlin (2017), "Using climate finance to advance climate justice: The politics and practice of channelling resources to the local level", *Climate Policy*, Vol. 18/7, pp. 902-915, http://dx.doi.org/10.1080/14693062.2017.1388212. [15]

Government of the Netherlands (2019), *Draft National Strategy on Spatial Planning and the Environment (NOVI)*. [17]

Jamei, E. and N. Tapper (2019), "WSUD and urban heat island effect mitigation", in *Approaches to Water Sensitive Urban Design*, Elsevier, http://dx.doi.org/10.1016/b978-0-12-812843-5.00019-8. [12]

Ministry of the Interior and Kingdom Relations of the Netherlands (2019), "Draft National Strategy on Spatial Planning and the Environment: A sustainable perspective for our living environment", https://www.denationaleomgevingsvisie.nl/publicaties/english+versions/default.aspx#folder=1451456. [4]

Moreno Monroy, A. et al. (2020), "Housing policies for sustainable and inclusive cities: How national governments can deliver affordable housing and compact urban development", *OECD Regional Development Working Papers*, No. 2020/03, OECD Publishing, Paris, https://dx.doi.org/10.1787/d63e9434-en. [9]

OECD (2019), "Financing climate objectives in cities and regions to deliver sustainable and inclusive growth", *OECD Environment Policy Papers*, No. 17, OECD Publishing, Paris, https://doi.org/10.1787/ee3ce00b-en. [13]

OECD (2019), *Taxing Energy Use 2019: Using Taxes for Climate Action*, OECD Publishing, Paris, https://dx.doi.org/10.1787/058ca239-en. [8]

OECD (2018), *Building Resilient Cities: An Assessment of Disaster Risk Management Policies in Southeast Asia*, OECD Green Growth Studies, OECD Publishing, Paris, https://dx.doi.org/10.1787/9789264305397-en. [11]

OECD (2018), *OECD Urban Policy Reviews: Viet Nam*, OECD Urban Policy Reviews, OECD Publishing, Paris, https://doi.org/10.1787/9789264286191-en. [5]

OECD (2016), *Urban Green Growth in Dynamic Asia*, OECD Green Growth Studies, OECD Publishing, Paris, https://dx.doi.org/10.1787/9789264266360-en. [3]

OECD (2013), *Green Growth in Cities*, OECD Green Growth Studies, OECD Publishing, Paris, https://dx.doi.org/10.1787/9789264195325-en. [2]

OECD/UN-Habitat/Cities Alliance (2020), *National Urban Policy Country Survey 2020*. [14]

TULab (2019), *Harnessing Urbanisation for Development: Roadmap for Tanzania's Urban Development Policy*, Tanzania Urbanisation Laboratory, https://urbantransitions.global/en/publication/harnessing-urbanisation-for-development-roadmap-for-tanzanias-urban-development-policy/. [6]

World Bank (2020), *State and Trends of Carbon Pricing 2020*, World Bank, Washington, DC, https://openknowledge.worldbank.org/handle/10986/33809. [7]

Global State of National Urban Policy 2021:

ACHIEVING SUSTAINABLE DEVELOPMENT GOALS AND DELIVERING CLIMATE ACTION

National Urban Policy (NUP) is a key instrument to achieve sustainable urban development in a shared responsibility across countries, regions and cities. The scale and urgency of the current urban challenges has given prominence to NUPs. The COVID-19 crisis has amplified the potential of NUPs in shaping more resilient, green and inclusive cities as part of countries recovery packages.

This report reviews NUPs of 162 countries across the globe. Building on the first edition launched in 2018, the report serves as a critical source of information and analysis for policymakers and urban professionals, as it establishes the foundation for understanding how and in what forms NUPs have been developed, implemented and monitored globally. The overarching objective of the report is to assist national governments in advancing their NUP processes, especially in creating a stronger link between NUPs and urban-related global agendas, such as the Agenda 2030 for Sustainable Development and the New Urban Agenda, and in mainstreaming climate action into NUPs. The report is a co-creation of the OECD, UN-Habitat and Cities Alliance, as a key outcome of the National Urban Policy Programme, a global partnership launched in 2016 at the Habitat III Conference.

PAPERBACK ISBN 978-92-64-88003-0
PDF ISBN 978-92-64-77950-1

9 789264 880030