GLOBAL STATE OF NATIONAL URBAN POLICY

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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 with the Arab States, with the exception of Comoros, Djibouti, Somalia and Mauritania, which are in the Africa region, and Armenia, Azerbaijan, Cyprus, Georgia, Israel and 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.

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PREFACE

Good urbanisation creates opportunities for countries, allowing them to improve their economic performance, foster social inclusiveness, and encourage environmentally sustainable growth patterns. On the other hand, poorly managed urbanisation generates significant economic, social and environmental challenges. Urbanisation is a complex process, requiring a coordinated policy approach. As such, a National Urban Policy can bring together national sectoral policies which affect urban development and help to clarify roles and responsibilities across ministries as well as between the central and local governments.

In doing so, a National Urban Policy facilitates the management of interdependencies across different actors and levels of government, while ensuring policy coherence, creating incentives for more sustainable practices, and providing a basis for the better allocation of resources. The role of National Urban Policy was widely recognised during the Habitat III process. The New Urban Agenda – the outcome document of Habitat III adopted in Quito in October 2016 – identifies National Urban Policy as one of the key tenets for achieving sustainable development and growth. To take this process forward, UN-Habitat's Action Framework for Implementation of the New Urban Agenda has identified National Urban Policy as the first pillar for this implementation.

It is in this context that we are delighted to present *Global State of National Urban Policy*. This is the first ever report to monitor and evaluate National Urban Policies at the global scale, covering 150 countries across all continents, building on shared methodologies and processes across our two Organisations. It aims to serve as an important tool for policymakers, practitioners and academia by providing valuable insights on cross-cutting issues and country-level experiences.

This publication is another milestone of successful collaboration between UN-Habitat and the OECD. During the preparatory process of Habitat III, the two Organisations co-led Policy Unit 3, which consolidated our joint work on National Urban Policy. Consequently, at Habitat III, we announced our commitment to collaborate, along with Cities Alliance, on the implementation of the National Urban Policy Programme, a joint global initiative to support countries' National Urban Policy processes.

We are certain that *Global State of National Urban Policy* will have a significant impact on the development and implementation of inclusive and participatory National Urban Policies in the years to come. Both organisations look forward to continuing to join forces and support countries across the world in their effort to implement the New Urban Agenda.

Ms. Maimunah Mohd Sharif
United Nations Under-Secretary-General
and Executive Director of UN-Habitat

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FOREWORD

Effective implementation of a national urban policy (NUP) will require a sound monitoring and evaluation mechanism to take stock of what works, what does not work, where good practices exist, and where improvement may be needed. During the Habitat III process, the role of NUPs in supporting the implementation of the New Urban Agenda and other urban-related global agendas was increasingly recognised, and a range of tools and frameworks to assess NUPs have been discussed across international organisations and within national governments in countries.

Global State of National Urban Policy provides a first attempt at assessing NUPs across the globe in 150 countries. It establishes the foundation for understanding how and in what forms NUPs have been developed, implemented and monitored globally. The report also paves the way for the definition of a common methodology to monitor the progress of NUPs at the global level.

The report is a joint effort between UN-Habitat and the OECD. It draws on data and analysis from UN-Habitat's regional assessments of NUPs over the last four years, led by the Urban Planning and Design Branch. The selected regional reports were complemented by country-level analysis for the 35 OECD member countries, based on the 2017 report *National Urban Policy for OECD Countries*. The work was led by the OECD Centre for Entrepreneurship, SMEs, Regions and Cities, and the OECD Regional Development Policy Committee through its Working Party on Urban Policy.

The report is also an important outcome of the National Urban Policy Programme, a global initiative that was launched by UN Habitat, the OECD and Cities Alliance at the Habitat III Conference in October 2016. The Programme aims to bridge gaps observed in many countries in developing and implementing NUPs by providing coordinated support among the three institutions and other partners. The Programme has identified monitoring NUP progress as one of its five objectives.

EXECUTIVE SUMMARY

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. The adoption of Agenda 2030 by the United Nations General Assembly in September 2015 introduced a set of 17 Sustainable Development Goals (SDGs), including a dedicated SDG (number 11) on "making cities and human settlements inclusive, safe, resilient and sustainable". The 2015 United Nations Climate Change Conference (COP21) also adopted the Paris Agreement, through which United Nations Member States committed to limiting global warming, which implies a critical role for national governments in climate-change adaptation and mitigation in urban settlements, which are most responsible for and most vulnerable to climate change. Lastly, in October 2016, the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III) adopted the New Urban Agenda (NUA), advocating for proactive policies to leverage the dynamics of urbanisation as instruments of sustainable development.

National urban policies (NUPs) have increasingly been identified as important tools for governments to implement and monitor the progress of these global agendas. Well-designed national policy frameworks can help countries and cities achieve economic growth, environmental sustainability and social inclusion. A NUP does not replace sub-national urban policies, but complements them in order to create an overall, cross-cutting vision of the systems that integrate cities and regions in the process of a country's development.

In preparation for Habitat III, NUP was selected as one of the ten thematic Policy Units, affirming its instrumental nature for the implementation of the New Urban Agenda. UN-Habitat and the OECD co-led the Policy Unit and developed the Policy Paper on NUP, which was a key input to the drafting process of the New Urban Agenda. Subsequently, the NUA has put explicit emphasis on NUPs as one of its five pillars of implementation, and calls for measures to enhance the ability of governments to develop and implement such over-arching policies. NUPs have also been proposed as a monitoring tool for the SDGs through Indicator 11.a.1. The above developments, therefore, provide a unique window of opportunity to scale up the uptake of NUPs as a powerful policy process to help governments shape and implement better urban policies for better lives, as a shared responsibility across local, regional and national levels.

Objectives of the study

Effective implementation of NUPs in support of the implementation of the NUA and other global agendas will require a sound monitoring and evaluation mechanism to take stock of what works, what does not work, where good practices exist, and where improvement may be needed. A range of tools and frameworks has been used in the past across international organisations and within national governments to assess NUP in countries while acknowledging the diversity of urban and institutional conditions across and within countries. This study, building on regional studies by UN-Habitat and the OECD on the state of NUP for the 35 OECD member countries, provides a first attempt at assessing NUP trends, strengths and ways forward across member and non-member countries, and paves the way for the definition of a common methodology to monitor the progress of NUPs at the global level. More specifically, the study seeks to:

- Define categories to classify different forms (more or less explicit), stages of development and themes and governance of NUPs and provide a comprehensive overview at the global and five regional scales;
- Provide international and regional comparisons on the progress of NUPs and

inform future desirable actions to advance their NUP processes;

- Understand the current governance structure of NUP in countries and identify policy and capacity gaps to effectively advance NUPs and global agendas;

- Assist international institutions to better understand the current state of NUP at the global scale and where future support effort should be directed; and

- Highlight key evidence and successful cases of NUPs to support improved comparative learning on pitfalls to avoid and good practices.

Key findings

- Out of the 150 countries covered in this report, half (76) have adopted explicit NUPs, and half (74) have partial NUPs. In terms of NUP development stages, 92 countries (61 per cent) already implement their NUPs, whereas 58 countries (39 per cent) are in the process of developing NUPs. Only 19 countries (13 per cent) have reached the monitoring and evaluation stage. The stage of NUP varies by region. In the Europe and North America region, most countries already implement NUPs. In contrast, about 40 per cent of the countries in Africa and Asia and the Pacific are currently in the stage of developing NUPs. However, the data show that some fast-urbanising global regions, such as the Arab States, are making serious efforts to put urbanisation on national agendas.

- Spatial structure and economic development are the two sectors most extensively covered by NUP. Of the 108 NUPs in or beyond the formulation stage, 47 (44 per cent) of NUPs give strong attention to spatial structure, while 43 (40 per cent) give the same to economic development. Meanwhile, attention to climate change resilience and environmental sustainability is weakest; only 11 (10 per cent) of NUPs give extensive attention to climate change resilience and 28 (26 per cent) to environmental sustainability.

- A majority of countries does not have a specialised urban agency in charge of NUP implementation. Of the 150 countries with NUPs, 57 (38 per cent) have a specialised urban agency and 83 (55 per cent) have a general national planning authority to oversee the policy. This underlines the importance of co-ordination mechanisms at national level to successfully implement a NUP. Countries in Africa, the Arab States and Asia and the Pacific regions are more likely to have a specialised urban agency than the other regions, implying that urbanisation is receiving high political attention.

- In most regions, a lack of resources (human, technical and financial) is the most difficult challenge to successfully implementing NUPs; policy instruments and institutional capacities to coordinate and implement NUPs have not been extensively developed. There is a clear need for international policy agencies to make concerted efforts to support countries.

Policy recommendations

As the first assessment of NUPs at the global scale, the study provides food for thought for policymakers to develop and implement their NUPs. The study clearly demonstrates a diversity of forms, stages, thematic scopes and governance of NUPs at the global and regional scale, which necessitates a tailored approach to advance NUP processes. For example, a closer look at each country's NUP would be necessary to better understand the degree to which each

NUP can integrate different national sectoral policies, coherently address complex and interconnected urban challenges, and create an enabling environment for engaging all levels of actors in NUP processes.

At the same time, the study also reveals some common features and challenges across the globe. For example, the fact that climate-change resilience and environmental sustainability have had less attention demonstrates the importance of an integrated and holistic approach.

The fact that a majority of countries does not have a specialised agency to oversee urban policy implies that a general national planning agency needs to be sufficiently empowered so that it could play a coordinating role across other sectoral ministries. Some countries have a national planning agency, although such an agency was not necessarily tasked with coordination across multiple governmental portfolios and levels.

Based on the key findings, some policy recommendations are provided for countries to advance NUP processes, and for international institutions to support them effectively in doing so:

- National governments should take the lead in developing and implementing an explicit NUP to capitalise on the development opportunities from urbanisation and meet their globally agreed responsibilities, such as the relevant targets of the SDGs and the NUA.

- A one-size-fits-all NUP cannot be defined; NUPs should be sensitive to national, regional and local circumstances and context.

- Coordinated and collaborative governance between all levels of government is needed, as a NUP is not top-down, but requires active engagement of subnational governments and all relevant stakeholders for effective implementation.

- There is a need to improve human, technical and financial resources for NUP development. Particular attention should be given to regions and nations that are struggling to get adequate resources for their NUPs.

- Greater attention to issues of climate change and environmental sustainability in NUPs is imperative, especially to meet the Paris Agreement with shared responsibility across levels of government.

- Policy learning and knowledge sharing within and across global regions should be encouraged at the regional level, possibly through networks of national governments.

- There is a need for better reporting and collecting of information about the status of NUP within and across countries, but also at the global level to support improved NUP development and achieve global agendas such as SDGs and NUA.

- Relevant international organisations should collaborate to support the development of more explicit NUPs, for example through the National Urban Policy Programme, a global initiative that was launched by UN-Habitat, the OECD and Cities Alliance at the Habitat III Conference.

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1
INTRODUCTION

1.1 Context: the increasing need for national urban policy

Today, more than 50 per cent of the world's population lives in cities. This figure will increase to a projected 66 per cent by the middle of this century and 85 per cent by 2100. Within 150 years, the urban population will have increased from less than one billion people in 1950 to nine billion by 2100 (UN-Habitat, 2016a; OECD, 2015a).

What happens in cities is critical to national economic, social and environmental performance. Cities are hubs for job creation, innovation and growth, yet they are also places where governments face acute policy challenges, including concentrations of poverty and unemployment, infrastructure bottlenecks, high levels of pollution and difficulties in the provision of key services. By "getting cities right" (Table 1.1), governments can create conditions for a better life for most of their citizens and achieve national goals with respect to growth, inclusion and environmental sustainability. Accordingly, cities have become increasingly important policy targets for national governments (OECD, 2014).

Urbanisation can undoubtedly bring about positive developments; it has been associated with economic and social development and carries the potential for a more efficient use of natural resources. However, if this rapid population growth in cities is left to develop unmanaged, it can exacerbate socio-economic inequalities and risks, and environmental degradation.

As the effects of these opportunities and challenges in cities exceed urban boundaries, so too does their political management: "cities are too important to be left to their own devices" (UN-Habitat, 2014b). This also underscores the need for national governments to give attention to the development and implementation of urban policies.

Table 1.1 Getting cities right: The OECD perspective

Moving from	Towards
An administrative logic, where cities are seen as administrative entities, solving problems within boundaries, even if the impact extends beyond	A function logic, where cities are seen as functional economic areas, and solutions need to be adapted to the area of impact
Problem-driven, with a focus on issues such as air pollution, congestion, poor economic performance, failing neighbourhoods	Strategic with a focus on opportunities(e.g how cities of all sizes can grow and contribute to national policy objectives)
A narrowly defined urban agenda (e.g national urban policies limited to one or two urban issues, such as infrastructure provision or revitalising distressed neighbourhoods)	A holistic approach(with national government awareness of a full range of poloicies that can be profoundly shape urban development)
A silo approach, with sectorial, fragmented responses to specific challenges (e.g transport, land use, waste, economic development)	Integrated approaches to cross-cutting urban challenges, based on co-ordinating economic, social and environmental policies (e.g improving the quality of life and citizens' well-being, and green growth strategies)

Source: OECD (2014), OECD Regional Outlook 2014: Regions and Cities: Where Policies and People Meet, OECD Publishing, Paris, http://dx.doi.org/10.1787/9789264201415-en.

Furthermore, recent global processes have led to the definition of a new global urban agenda which acknowledges the importance of urban policies for sustainable development, and the crucial role that national governments play with respect to these issues. The adoption of the Sustainable Development Goals (SDGs) in September 2015 by the United Nations General Assembly, and particularly the adoption of a dedicated urban Sustainable Development Goal - SDG11 - has given exposure to the importance of sustainable urbanisation for development, although most of the other SDGs have an urban lens, dimension or implication in practice. The 17 SDGs have the over-arching aims of ending poverty, protecting the global environment and ensuring prosperity for all in the coming 15 years (United Nations Department of Economic and Social Affairs, Sustainable Development Division, 2015). SDG11 focuses on the quality of the urban environment, paying attention to the social, economic and environmental aspects of urban processes. SDG Target 11.a explicitly promotes "strengthening national and regional development planning", thus sending a strong signal for national governments to establish effective urban policy frameworks (Box 1.1).

The 2015 United Nations Climate Change Conference (COP21), with the Paris Agreement as the outcome document, saw United Nations Member States committing to a target of limiting global warming to well below 2°C (UNFCCC, 2015). Although the agreement does not directly include urbanisation and urban development within its ambit, the large contribution of cities to greenhouse gas emissions means that there will be a strong imperative for national signatories to COP21 to reduce the emissions from their urban settlements (UNFCCC, 2015). Therefore, policies to reduce greenhouse gas emissions in cities are now necessarily a concern of national governments.Another major policy imperative was the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III), which took place in Quito, Ecuador, in October 2016. Held once every 20 years, the Habitat Conference aims to create a renewed global strategy for the sustainable development of human settlements in urban and rural areas. The Third Conference launched the New Urban Agenda (NUA), advocating for proactive policies to leverage the dynamics of urbanisation as instruments of sustainable development.

These new priorities of managing urbanisation within intergovernmental agreements and frameworks call for governments to have increased responsibility for adapting, implementing and monitoring these global imperatives. NUP has therefore been identified as an important tool for governments to implement and monitor the progress of these global agendas, and adapt them to national contexts (OECD, 2017a; United Nations, 2016a).

International communities have recognised such policy needs and have taken actions to support countries' efforts to develop and implement NUPs. The OECD, for example, has long been carrying out National Urban Policy Reviews in countries such as Poland (2011), Korea (2012), Chile (2013), Mexico (2015), China (2015), Kazakhstan (2017) and Vietnam (2018) (see OECD, 2011; 2012; 2013; 2015b; 2015c; 2017b; 2018). In 2013, the United Nations Governing Council mandated UN-Habitat to promote sustainable development through NUP as a key strategy for enhancing socio-economic development, environmental sustainability, maximising the national and local benefits of urbanisation and mitigating potential adverse externalities. As of 2017, UN-Habitat is supporting more than 30 countries with the development and implementation of their NUPs. NUP was also selected as one of 10 thematic policy units in preparation for Habitat III, affirming its instrumental nature for the implementation of the New Urban Agenda. The Policy Unit 3 of Habitat III on National Urban Policies was composed of 20 global experts and co-led by UN-Habitat and the OECD. The main output of the Policy Unit was the Policy Paper on National Urban Policies, which features 10 key recommendations (Box 1.2). Furthermore, NUPs are proposed as a monitoring mechanism for an indicator of SDG11 in the Sustainable Development Goals Report 2016, where they are acknowledged as a "way to connect national policy to local action" (United Nations, 2016c).

Box 1.1. Sustainable Development Goal 11 and its targets

SDG11: Make cities and human settlements inclusive, safe, resilient and sustainable

Targets:

11.1 By 2030, ensure access for all to adequate, safe and affordable housing and basic services, and upgrade slums

11.2 By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improve road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons

11.3 By 2030, enhance inclusive and sustainable urbanisation and capacity for participatory, integrated and sustainable human settlement planning and management in all countries

11.4 Strengthen efforts to protect and safeguard the world's cultural and natural heritage

11.5 By 2030, significantly reduce the number of deaths and the number of people affected and substantially decrease the direct economic losses relative to global gross domestic product caused by disasters, including water-related disasters, with a focus on protecting the poor and people in vulnerable situations

11.6 By 2030, reduce the adverse per capita environmental impact of cities, including by paying special attention to air quality and municipal and other waste management

11.7 By 2030, provide universal access to safe, inclusive and accessible green and public spaces, in particular for women and children, older persons and persons with disabilities

11.a Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning

11.b By 2020, substantially increase the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, and develop and implement, in line with the Sendai Framework for Disaster Risk Reduction 2015-2030, holistic disaster risk management at all levels

11.c Support least-developed countries, including through financial and technical assistance, in building sustainable and resilient buildings utilising local materials.

Source: United Nations Department of Economic and Social Affairs, Sustainable Development Division (2015), Sustainable Development Goals: Knowledge Platform, accessed March 2016 from https://sustainabledevelopment.un.org/sdgs

Box 1.2 Key Recommendations from Policy Unit 3, National Urban Policy

1. **International agreements:** NUPs have proved to be valuable for implementing the Habitat Agenda and should be further mainstreamed as a critical instrument to implement the New Urban Agenda. The normative base of a NUP should additionally reflect existing international agreements, including:

   - Universal Declaration of Human Rights
   - Paris Agreement
   - Sendai Framework
   - 2030 Agenda for Sustainable Development

2. **Institutional form:** the institutional form of a NUP must create channels of participation and take into account the need to effect high-level change, including: legal reform, allocation of fiscal resources, generation of information on the overall urban system (including formal and informal), and integrated long-term urban planning and design that extends beyond the political cycle. Quality of legal frameworks signifies the ability to produce the regulatory reforms required by policy makers. Effective legislation must have a clear purpose and introduce consistent and well thought-out rules and enforcement mechanisms, and unambiguous rules and obligations. Finally, it must allow for systematic monitoring and evaluation of the results of legislation. Implementing an evidence-based NUP process requires investment in civil services, research, university curricula and educational opportunities.

3. **Leadership:** there needs to be both formal and informal political leadership from within government and/or from other stakeholders to ensure the legitimacy of the NUP process and effectiveness of implementation.

4. **Inclusive and equitable:** NUPs need to be inclusive and enable stakeholders to effectively engage in the process, making sure all voices are heard. The outcomes and impact need to promote equality, reach the most vulnerable, those at risk and the urban poor.

5. **Sustainability and resilience:** a NUP has to address social, economic and ecological dynamics and the interplay between them in the territorial context.

6. **Priority issues:** a NUP should be people-centred; it needs to complement and not replicate strong sectorial strategies in areas such as infrastructure, water, energy, health, education, housing or social and economic inclusion policies. Ideally, a NUP will address the territorial, fiscal and institutional relationships across sectors. It should safeguard the interests and rights of both current and future generations and be mindful of the natural ecosystem impacts of policy choices. A NUP provides the information platform or process to mediate long term versus short-term priorities across territorial scales, allowing difficult decisions to be debated and communicated with the public.

7. **Coordination:** a NUP should emphasise and facilitate institutionalised and informal coordination and collaboration among different actors, sectors and functions across all scales and systems of cities. Coordination should consider national territorial concerns, including the urban-rural continuum, and metropolitan, regional and supranational urbanisation dynamics and issues.

8. **Capacity:** to be effective, a NUP process requires preparation, an institutional host, budget, training and opportunities for in-country and transnational peer-to-peer learning within and across governments and other stakeholders. Effective internal monitoring and evaluation should be built into the process.

9. **Communication:** the NUP process should employ a multimedia communications strategy

that is comprehensive and transparent, and is targeted to inform all civil servants, residents, media and other stakeholders both within and outside national boundaries. A communication strategy for a NUP should also promote broad awareness of the integrated nature of urban development.

10. **Data:** a NUP should be grounded in the most current and comprehensive qualitative and quantitative data. The process of developing a NUP can be used to improve data collection systems and develop new and additional data to improve disaggregation (e.g. gender and age), coverage (sector and geography) and the interoperability of data. Specific attention must be given to enumerating and making visible all aspects of urban informality. Data collected for a NUP needs to engage with global and local systems of data and should be open access.

Source: United Nations (2016a), Habitat III, Policy Unit 3 Policy Paper. United Nations Conference on Housing and Sustainable Urban Development: Nairobi.

Effective implementation of NUPs to support the New Urban Agenda and other global agendas will require a sound monitoring and evaluation mechanism to take stock of what works, what does not work, where good practices exist, and where improvements may be needed. A range of tools and frameworks has been developed and used in the past across international institutions and within national governments to assess NUPs in countries, while acknowledging the diversity of urban and institutional conditions across and within countries.

The process to develop a framework to systematically assess NUPs at a global scale was initiated by UN-Habitat, which commissioned a series of regional studies in 2014 and 2015 to survey the status of NUP in five global regions: Africa, Asia and the Pacific, Arab States, Europe and North America, and Latin America and the Caribbean.

The studies were based on a common methodology to assess NUPs (UN-Habitat, 2017a; 2017b; 2017c; 2018a, forthcoming; 2018b, forthcoming) and in 2016, the OECD applied this methodology to study the NUPs for the 35 OECD member countries and published the findings in the report entitled *National Urban Policy in OECD Countries* in May 2017 (OECD, 2017a).

1.2 National urban policy – a new generation of national effort on urbanisation

A NUP is defined as: "[a] coherent set of decisions derived through a deliberate government-led process of coordinating 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, 2014b). A NUP is both a process and an outcome that harnesses the dynamism of cities and urbanisation. It sets out the principles from which urban policy interventions are formulated and implementation is conceived. Results rest on a clear strategy and effective coordination between policies that affect national territorial concerns across the urban-rural continuum, metropolitan, regional and supranational scales (United Nations, 2016a).

One of the key roles expected of a NUP is to support the alignment of different sectoral policies and ensure all the policies that affect urban areas are coherent in support of cities and the people that live in them. Although a very wide range of national policies can have a profound effect on urban development, national governments rarely review this impact systematically through an "urban lens" (OECD, 2014; OECD, 2015d). As a

result, sectoral policies may achieve results that are diametrically opposed to stated aims for cities. For example, fossil fuel subsidies negotiated at the national level clearly undermine local efforts to develop environmentally sustainable cities. Policy coordination across levels of government is thus essential if cities are to function well, and this requires national leadership. In particular, considering a wider range of sectoral policies than those which have tended to be seen as "urban" should facilitate greater coherence across national sectoral policies and contribute to greater coherence between national and city-level initiatives, thereby strengthening the impact of both (OECD, 2014; OECD, 2015d). A NUP can also connect all levels of government and other stakeholders by providing forums for the co-creation of a shared vision and a framework which enables them to move as one towards the stated goals. It does not replace local urban policies but complements them to create the necessary conditions for sustainable urban development (United Nations, 2016a). The Policy Paper on NUP summarises key transformations that a successful NUP can bring (Box 1.3). As the importance of NUPs has been increasingly recognised, researchers and policy institutions have attempted to define a successful NUP and develop frameworks for effective NUPs (Turok and Parnell, 2009; Hohmann, 2017). For example, UN-Habitat has proposed a set of six factors essential to a successful NUP (UN-Habitat, 2015) (Box 1.4). Furthermore, UN-Habitat has conceptualised the process of NUP development into five general stages so as to provide guidance and core considerations in each of them. The stages are: feasibility, diagnosis, formulation, implementation, and monitoring and evaluation (UN-Habitat, 2015). However, the process should not be seen as linear but as a cyclical relationship, in which stages overlap and are intrinsically interconnected.

Box 1.3 Key transformations expected through a successful NUP

1. Increasing the coherence of national and local policies affecting and relevant to urban development (territorial/spatial impact of national sectoral policies). Selected relevant national and local policies are: economic policies (which impact the economic impact (e.g. job creation) that urbanisation can bring), land, public service, safety and security, housing, certain infrastructure, climate, natural resources/environment, mobility and social policies. Increasing coherence at the policy level can improve administrative effectiveness and resource flows at the metropolitan level.

2. Empowering local authorities by building capacity, rebalancing fiscal systems and giving legal and political mandate.

3. Empowering communities, grassroots organisations, social and traditional leaders and civil society at large by providing them with tools for monitoring and evaluating policies and increasing participatory mechanisms in budgeting and/or policymaking processes.

4. Improving investment in cities by improving the business environment.

5. Fostering co-operation and collaboration across jurisdictions by overcoming metropolitan fragmentation and discouraging "race-to-the-bottom" competitions (e.g. regulatory competition, harmful competition that prevents local governments from collecting sufficient revenue).

6. Improving quality of life and wellbeing (poverty, accessibility, environmental quality, etc.). While the components of this improvement will vary according to challenges and contexts, improved quality of life is the ultimate aim.

Source: United Nations (2016a), Habitat III, Policy Unit 3 Policy Paper. United Nations Conference on Housing and Sustainable Urban Development: Nairobi.

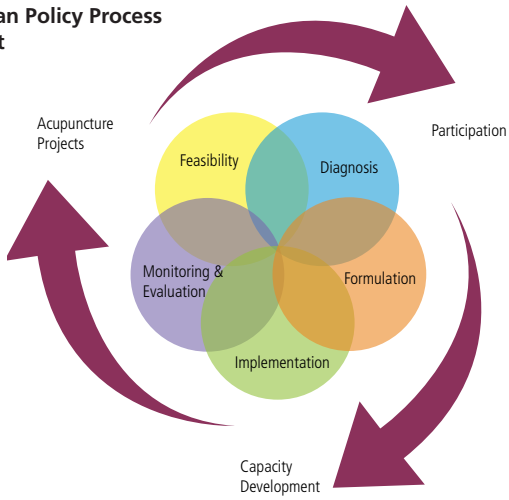
For example, at first glance, the feasibility stage may seem like a cursory stage, solely focused on taking stock of urbanisation processes, urban governance and policy instruments. In reality, the feasibility study can often engender future NUP guidelines and principles which, even if they never materialise, can play an instrumental role in directing urban development at the national level. Policy processes should be approached from a flexible and fluid perspective, and the awareness that the total picture of urban development is presented in the initial, preparatory stages (Figure 1.1). In other cases, even when implementation is slow due to political process or other issues, feasibility studies and principles can nonetheless perform a function in NUP development. The Czech Republic benefited from such an experience (Box 1.5). Finally, essential to the NUP process throughout the whole cycle and at each stage are the three pillars of participation, capacity development and acupuncture projects (UN-Habitat, 2015).

Box 1.4 Six essential factors to a successful NUP: UN-Habitat's perspective

1. **Clear goals and objectives.** Defining a shared and coordinated urban vision for the country is the first and most crucial factor to harness the opportunities and face the challenges of urbanisation nationally. The stages of feasibility, diagnosis and formulation must overcome silo-based approaches and intergovernmental and societal rivalries to establish a clear and broadly accepted set of goals and objectives that can then be coherently divided vertically and horizontally into responsibilities for implementation, monitoring and evaluation.
2. **A spatial integration perspective**. A successful NUP must not omit the spatial application of its objectives and challenges. In particular, a spatial perspective at the broader, national level can promote more balanced territorial development and help to plan for efficient and sustainable use of resources by encouraging urban systems and connectivity between cities, but also by acknowledging and optimising the urban-rural continuum. Subnational authorities are also in a position to apply the national vision to their territory and address more precisely critical urban and metropolitan challenges, such as the spatial manifestation of inequalities within cities.
3. **Suitable institutional arrangements.** The successful development of a NUP relies on institutional arrangements that enable a collaborative and coordinated articulation of roles and responsibilities between governmental levels. The distribution of competences must take into account the strengths and capacities of each level, such as leadership and coordination at the national level and input of contextual knowledge and adaptation at the subnational level, for increased efficiency and legitimacy.
4. **Suitable policy instruments.** To be successfully implemented at all levels, a NUP and its vision must be solidly supported by a range of policy instruments and measures that work best in combination: a clear and efficient legal framework, coherent spatial strategies, financial tools encouraging sustainable investments and other programmes, regulations and projects.
5. **Commitment of resources.** The development of a NUP also necessitates adequate resources – human, technical and financial – at all levels of government. In particular, subnational authorities need to be given the human and financial capacity to carry out their responsibilities throughout the NUP process. This may entail technical assistance and, most importantly, an appropriate fiscal decentralisation accompanying that of competences, through effective public finance mechanisms that secure financial autonomy and capacity for local governments.
6. **Stakeholder engagement.** The collaboration between all levels of government, civil society, the private sector and other relevant stakeholders is critical for the NUP to deliver a truly shared and inclusive urban vision. The development of a NUP should be the occasion to engage all segments of society through partnerships or participatory processes, with careful attention given to the inclusion of vulnerable or marginalised populations.

Source: UN-Habitat (2015) National Urban Policy: A Guiding Framework. UN Habitat, Nairobi.

Figure 1.1 National Urban Policy Process Proposed by UN-Habitat



Source: UN-Habitat (2015), National Urban Policy: A Guiding Framework, UN-Habitat, Nairobi.

Box 1.5 National Urban Policy Feasibility, Czech Republic

In 2010, the Czech Ministry of Regional Development produced its Principles of Urban Policy (Zásady Urbánní Politiky). It is a framework document that provides guidance and aims to help co-ordinate urban development activities at all levels of government and to link existing sectoral policies with urban policies. The framework contains six principles among which there is the vision of a regional nature of urban policy, the polycentric development of population pattern, the development of towns as development poles in a territory and care for the urban environment, including mitigation and adaptation to climate change and the protection of green spaces and green belts.

Before the Principles of Urban Policy, urban policy was integrated into the Regional Development Strategy of the Czech Republic. The principles still emphasise that a regional approach is the natural approach to address urban issues. The document was created as a stand-alone guidance and co-ordination document, as it was not considered possible to change the 2007-2013 National Development Plan. The principles laid the groundwork for the creation of a comprehensive NUP after 2013 (Czech Ministry of Regional Development, 2010). To date, work on a comprehensive NUP has not begun. However, the principles are an example of how diagnosing a need for a NUP can, in itself, help define urban problems and point to the areas that an eventual NUP would need to address (UN-Habitat 2017c). Furthermore, the 2014-2020 Regional Development Strategy has an urban dimension, which emphasises the consideration of cities in the context of functional urban areas and the importance of urban-rural linkages (OECD, 2014). The principles were updated in 2017, in conjunction with the Urban Agenda for the European Union.

Key lessons:

- The Principles of Urban Policy underscore the importance of a diagnostic process in laying the foundation for NUP.
- Integrating climate resilience and environmental sustainability in urban principles and NUP development is an essential approach.
- It is important to make a NUP consistent with other urban agendas across levels of government.

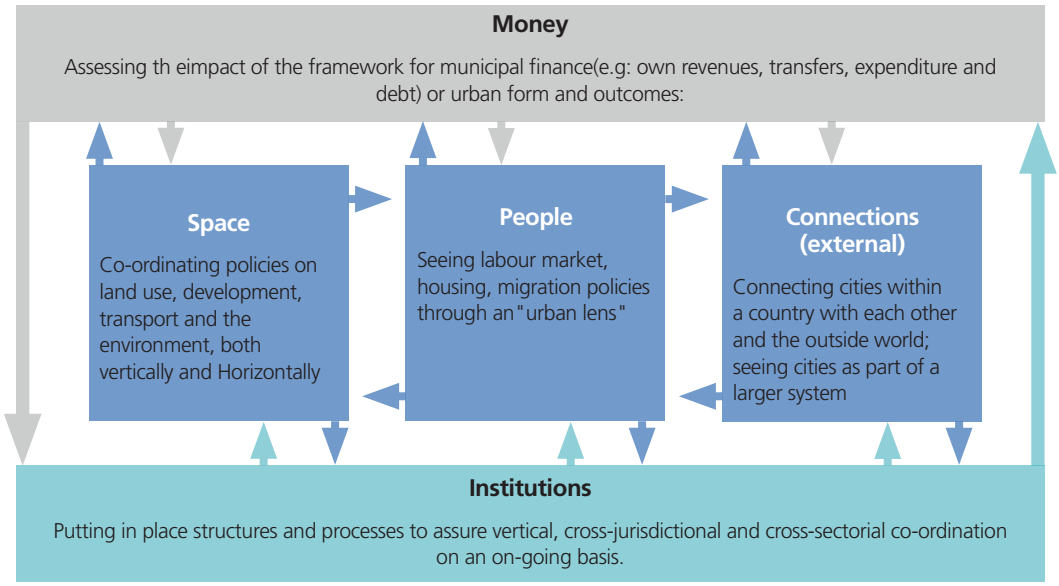
The Principles are well aligned with European Union's goals on urban development, through strong reference to European Union programmes such as Joint European Support for Sustainable Investment in City Areas (JESSICA).

Sources: Czech Ministry of Regional Development (2010). Principles of Urban Policy, Ministry of Regional Development. Prague; OECD (2017a), National Urban Policy in OECD Countries, OECD Publishing, Paris; OECD (2015e), "Regional Outlook Survey Results: Czech Republic", unpublished; OECD (2014), OECD Regional Outlook: Regions and Cities: Where Policies and People Meet, OECD Publishing, Paris; UN-Habitat (2017c), National Urban Policy: Europe and North America Report, UN-Habitat, Nairobi.

This UN-Habitat approach to NUPs is in line with OECD's diagnostic framework on NUPs, which assesses the degree of policy coherence with respect to five areas: money, place, connections, people and institutions (OECD, 2014; OECD, 2015d) (Figure 1.2). While it is presented as a set of questions rather than a normative principle, the diagnostic framework implicitly suggests key criteria for successful NUPs. It stresses that such a diagnostic framework needs to take an evidence-based, whole-of-government approach to the full range of sectoral policies that can profoundly shape urban development (OECD, 2015d). The five broad issues should nonetheless be considered as they relate to one another in urban areas, rather than as policy "silos" to be managed in isolation.

Two of the five – money and institutions – are effectively transversal, influencing all the others. The other three concern the central issues around which sectoral policies must cohere. While most questions will be relevant to all countries, the relative importance of different issues is likely to vary considerably, depending on, among other factors, a country's pace of urbanisation, constitutional framework, settlement patterns and level of economic development (OECD, 2015d). Table 1.2 presents a simplified version of such a diagnostic tool, setting out the main questions that it could encompass. The OECD has been applying the diagnostic framework to OECD Urban Policy Reviews, as previously mentioned.

Figure 1.2 The five broad issues of OECD Urban Policy Reviews



Source: OECD (2014), OECD Regional Outlook: Regions and Cities: Where Policies and People Meet, OECD Publishing, Paris.

Table 1.2 The five broad issues of OECD Urban Policy Reviews

Money

Municipal finance systems must be designed with a balance of efficiency, equity and environmental goals in mind. While most governments do not include the tax system as a key element of their urban strategies, a review of urban policies should begin with an analysis of four facets of the fiscal framework as it affects cities: own revenue, expenditure, transfers and debt.

- Do revenue-raising mechanisms encourage cities to pursue economic development in a sustainable way? Do they create incentives that contradict other important policy goals? And do they link the costs and benefits of development effectively?
- Do municipalities have the capacity and the incentive to manage spending efficiently?
- Are municipal revenue sources sufficient to avoid over-reliance on transfers from above? Do fiscal equalisation systems and other transfers strengthen incentives for cities to enhance their own revenue bases and improve expenditure management?
- Do rules governing municipal borrowing avoid moral hazard (e.g. expectation of bailouts) while leaving cities scope to borrow where necessary for needed investments?
- Do fiscal rules encourage inter-municipal collaboration or complicate it?

Space

Urban form matters. How cities develop spatially and how people and goods move through urban areas help determine whether the economic benefits of agglomeration outweigh the costs. Spatial planning decisions also affect citizens' quality of life directly, including ease of access to jobs, key services and amenities. Moreover, urban attractiveness, amenities and setting contribute to a city's distinct character, which can affect both the quality of life for residents and its economic prospects. This is an area where the need to govern cities as functional rather than administrative entities is especially acute, since un coordinated land-use decisions by adjoining municipalities can lead to very bad outcomes. The assessment of national policies affecting the spatial dimension of urban development should focus on the coherence of different aspects of spatial policy and the flexibility of policy instruments:

- Do national legislative regimes affecting land use in cities encourage or impede the integration of economic and spatial development strategies? Do they support dynamic, inclusive strategic urban planning in place of a focus on periodic city master plans?
- Does national legislation affecting land use foster inter-municipal co-operation and/or governance arrangements that correspond to functional needs as opposed to administrative boundaries?
- What mechanisms ensure that municipal development priorities do not undermine outcomes across an urban area? Are planning processes at different scales coherent with one another?
- What scope is there for using economic, as opposed to planning, instruments (congestion or parking charges, development fees, etc.) to shape the urban space?

Connections (external)

Because cities do not exist in isolation, connectivity at all scales is increasingly important to the performance of national urban systems.

Some national governments concerned with the impact that urban areas can have on national growth have considered fostering systems of cities to boost development potential by establishing stronger links between cities of varying sizes, particularly through transport. National decisions about major infrastructure networks can have a tremendous impact on cities' competitiveness and growth potential. To make the most of cities' growth potential, it is important to facilitate transport links among metropolitan areas and between metros and smaller urban centres. Governments may set targets for cities to fulfil different roles, (e.g. "Innovation Cities", "Enterprise Cities", "Eco-Towns") or increases linkages between metropolitan areas and smaller cities in a greater region (e.g. proposals for the Seine valley axis between Paris and Le Havre). Among the key questions to consider are the following:

- What arrangements exist to co-ordinate the planning and management of national, regional and local infrastructure developments? Are cities' incentives aligned with the need to reduce the reliance on automobile transport?

- How do national policies for air, land and sea transport shape the economic prospects of individual cities and the development relationships among cities? How are investments in transport co ordinated across modes, especially where different levels of government may play different roles from one mode to another?

- How easy is it for people and goods to travel from one metropolitan area to another? From metropolitan areas to smaller urban areas? Within metropolitan areas?

- Are environmental and transport planning integrated? Do cities have the flexibility and capacity to integrate land-use and transport planning (e.g. via financial instruments like developer fees)?

People

A wide range of national policies are aimed directly at improving the economic prospects, well being and opportunities of people. Many of these have significant implications for cities, not simply because most of the intended beneficiaries live in urban areas but also because national policies often impose additional, sometimes unforeseen, burdens on cities (e.g. immigration). This is not to suggest that national governments should necessarily cede such responsibilities to regions and cities. Rather it implies that a lively dialogue across levels of government is needed and that national governments should be sensitive to the local implications – intended or not – of their policies. In other cases, national policies may simply need local adaptation to achieve maximum impact (e.g. active labour-market policies). In a number of spheres, the key issue for governments to consider is this balance between national standards and local adaptations:

- Labour markets. What national policies exist to foster a co-ordinated approach to workforce development within an urban area? How can national labour policies effectively address concentrations of under- and unemployment in cities? What should be the division of responsibilities between levels of government in the design and implementation of active labour-market policies?

- Housing. How are national-level housing policies co-ordinated with local economic development and social policies? Do national policies support mixed-use development? To what extent do national affordable housing targets take into account municipalities' spatial, economic development and infrastructure plans? How are national housing interventions co ordinated with national policies in other fields, particularly transport and labour markets? Do tax or regulatory policies create a bias

towards (or against) home ownership rather than home rental? Or towards single-family houses rather than multi-family dwellings?

- Demographic change. Does a national strategy for integrating immigrant populations into the economy exist? If so, are urban areas identified as having a specific role in the strategy? Do national government transfers for social programmes take into account the share and diversity of an urban area's immigrant population? How strong is the urban dimension of policies aimed at addressing population ageing (e.g. attention to infrastructure needs and access to healthcare services for an ageing population)?

Institutions

Institutions can facilitate or hinder achievement of the kind of policy co-ordination cities need. Understanding the impact of national policies on urban development requires an understanding of the institutions that can enable greater coherence between national economic, social and environmental objectives and urban-level policies. Given that urban policies affect multiple sectors and multiple levels of government, both horizontal and vertical co-ordination is needed. Horizontal co-ordination at the national level among ministries responsible for urban-relevant policies can range from informal co-ordinating bodies to formal agencies with regulatory authority. At the local level, horizontal co-ordination takes the form of interactions among municipalities in the same functional urban area, and can also range from informal, voluntary arrangements to elected authorities with regulatory powers. Vertical co-ordination among the levels of government requires mechanisms for managing relationships between the national and municipal levels, the regional and municipal levels, and the national and regional levels.

- Horizontal co-ordination at national level. Is there a national vision or strategy for urban policies? How is progress monitored and which institution is responsible? What national institutions exist to co ordinate policies that affect urban development? What authority do they have (e.g. advisory, executive)? Does one agency have authority for co-ordinating the urban-relevant policies of other agencies? What mechanisms/institutions exist to co-ordinate public investment in cities across different national sectors? Across levels of government? What mechanisms exist for co-ordinating activities of multiple national ministries operating at the urban level?

- Inter-municipal co-ordination. Which national policies encourage co-operation/networking among cities and reduce the incentives for them to engage in unproductive forms of competition? Are there any national policy barriers to inter-municipal co-ordination? Are there national guidelines for inter municipal co-ordination on service delivery or infrastructure expansion and maintenance? Does national policy allow or encourage inter-municipal contracts for service provision? Do transfers from higher levels of government include conditions that incentivise inter-municipal co-ordination?

- Vertical co-ordination. How are urban and regional policy priorities co-ordinated? What level of autonomy do sub-national actors have over urban administration and management? Does the national government designate metropolitan or regional-scale authorities to manage national funds and policy implementation? Does the national government require co-ordination between municipalities and a regional or metropolitan-level agency on the development of certain plans or the implementation of certain policies?

Source: adapted from OECD (2015b), Building Successful Cities: A National Urban Policy Framework.

1.3 Objectives of the study

Effective implementation of NUPs, in supporting the implementation of the NUA and other global agendas, will require a sound monitoring and evaluation mechanism to take stock of what works, what does not work, where good practices exist and where improvement may be needed. A range of tools and frameworks has been used in the past across international organisations and within national governments to assess NUPs in countries, while acknowledging the diversity of urban and institutional conditions across and within countries.

This study provides a first attempt at assessing NUP trends, strengths and ways forward, and paves the way for the definition of a common methodology to monitor the progress of NUPs at the global level. More specifically, the study seeks to:

- Define categories to classify different forms (more or less explicit), stages of development and themes and governance of NUPs, and provide a comprehensive overview at the global and five regional scales;
- Provide international and regional comparisons on the progress of NUPs and inform future desirable actions to advance their NUP processes;
- Understand the current governance structure of NUP in countries and identify policy and capacity gaps to effectively advance NUPs and global agendas;
- Assist international institutions to better understand the current state of NUP at the global scale and where future support effort should be directed; and
- Highlight key evidence and successful cases of NUPs to support improved comparative learning on pitfalls to avoid and good practices.

The study is not intended to provide a rating or ranking of individual countries' NUP efforts. Rather, the purpose of the study is to understand the state of NUP globally and to identify potential for policy improvement. It also aims to contribute to a growing research and policy literature on NUPs.

1.4 Structure of the report

This report is comprised of eight chapters. After this introductory chapter, Chapter 2 presents the methodology adopted for this report to assess NUPs. The findings of the study are presented from Chapter 3 to Chapter 6. Chapter 3 assesses the form of NUPs (more or less explicit) and the stage of the NUP processes. Chapter 4 discusses the thematic scope of NUPs, assessing the level of attention given to selected sectorial policy themes related to urbanisation, as an indication to the extent that NUPs adopt a comprehensive view in dealing with the multi-sectorial nature of urbanisation. Chapter 5 focuses on the governance of NUPs, which should entail collaborative and coordinated institutional arrangements between all levels of government, and wide stakeholder engagement. The analysis focuses on the type of institutional authority leading the NUP process, on the extent of stakeholder engagement, and includes a discussion of the role of subnational governments in the NUP process. Chapter 6 discusses the capacity for implementation of NUPs at all levels of government, by focusing on the resources committed and the policy instruments employed in the NUP processes. Based on these findings, Chapter 7 presents the next steps, with a focus on the National Urban Policy Programme (NUPP), a global initiative jointly coordinated by UN-Habitat, the OECD and Cities Alliance to promote and support the development and implementation of NUPs around the world. Chapter 8 presents conclusions and key recommendations for a successful and complete implementation of NUPs. Finally, key country indicators and key features and characteristics of NUPs by country are detailed in Appendices A, B and C.

Monrovia, Liberia © Nack Fischer

2
METHODOLOGY

2.1 Geographical coverage

Out of the 193 UN Member States, the report identifies 150 National Urban Policies. No sufficient information was available to this study to make an assessment for 39 countries. 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 (Table 2.1). Out of the identified 150 NUPs, 43 (29 per cent) are in Asia and the Pacific region, followed by 38 (26 per cent) in Africa, 32 (21 per cent) in Europe and North America, 19 (13 per cent) in Latin America and the Caribbean and 17 (11 per cent) in the Arab States region (Figure 2.1).

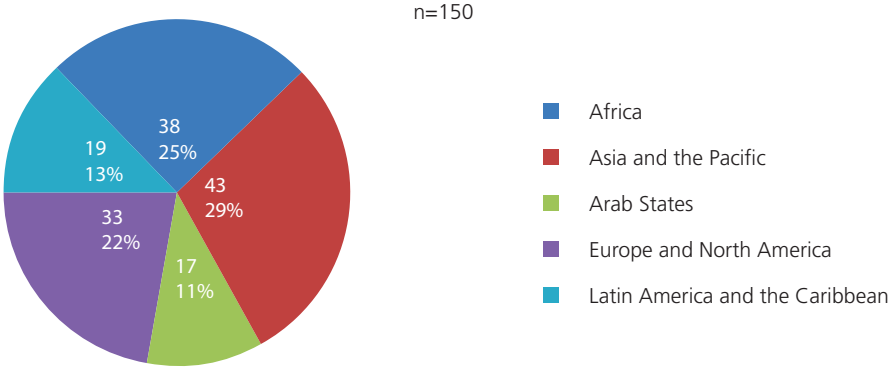
Table 2.1 Countries covered in the study per region

Region	Countries with identified NUPs (150)	Countries with insufficient information (39)	Countries with no NUPs (4)
Africa (48)	Algeria, Angola, Botswana, Burkina Faso, Burundi, Cabo Verde, Cameroon, Chad, Comoros, Congo, Cote D'Ivoire, Democratic Republic of Congo, Djibouti, Eritrea, Ethiopia, Gabon, Gambia, Ghana, Guinea, Kenya, Liberia, Madagascar, Malawi, Mali, Mauritius, Mozambique, Namibia, Nigeria, Rwanda, Senegal, Somalia, South Africa, South Sudan, United Republic of Tanzania, Togo, Uganda, Zambia, Zimbabwe	Benin, Central African Republic, Equatorial Guinea, Guinea-Bissau, Lesotho, Niger, Sao Tome and Principe, Seychelles, Sierra Leone, Swaziland	
Asia and the Pacific (50)	Afghanistan, Australia, Bangladesh, Bhutan, Brunei Darussalam, Cambodia, China, Fiji, India, Indonesia, Iran, Israel, Japan, Kiribati, Kyrgyzstan, Lao People's Democratic Republic, Malaysia, Maldives, Marshall Islands, Micronesia, Mongolia, Myanmar, Nauru, Nepal, New Zealand, Pakistan, Palau, Papua New Guinea, Philippines, Republic of Korea, Samoa, Singapore, Solomon Islands, Sri Lanka, Thailand, Timor-Leste, Tonga, Turkey, Turkmenistan, Tuvalu, Uzbekistan, Vanuatu, Vietnam	Armenia, Azerbaijan, Cyprus[1] , Democratic People's Republic of Korea, Georgia, Kazakhstan, Tajikistan	
Arab States (17)	Algeria, Bahrain, Egypt, Iraq, Jordan, Kuwait, Lebanon, Libya, Morocco, Oman, Qatar, Saudi Arabia, Sudan, Syrian Arab Republic, Tunisia, United Arab Emirates, Yemen		
Europe and North America (45)	Albania, Austria, Belarus, Belgium, Bosnia and Herzegovina, Bulgaria, Croatia, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Latvia, Lithuania, Luxembourg, Netherlands, Poland, Portugal, Republic of Moldova, Romania, Serbia, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, Ukraine, United Kingdom	Andorra, Liechtenstein, Malta, Monaco, Montenegro, Russian Federation, San Marino, TFYR Macedonia,	Canada, Italy, Norway, United States of America
Latin America and the Caribbean (33)	Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Dominican Republic, Ecuador, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay, Venezuela (Bolivarian Republic of)	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	

[1] Note by Turkey: The information in this document with reference to "Cyprus" relates to the southern part of the Island. There is no single authority representing both Turkish and Greek Cypriot people on the Island. Turkey recognises the Turkish Republic of Northern Cyprus (TRNC). Until a lasting and equitable solution is found within the context of the United Nations, Turkey shall preserve its position concerning the "Cyprus issue". Note by all the European Union Member States of the OECD and the European Union: The Republic of Cyprus is recognised by all members of the United Nations with the exception of Turkey. The information in this document relates to the area under the effective control of the Government of the Republic of Cyprus.

Figure 2.1 The number of NUPs identified by region

n=150



There are four countries where the urban policy landscape does not show any evidence of NUP adoption. For example, the United States does not have a NUP, although the US Federal Government has instigated a variety of initiatives related to urban development and housing (OECD, 2017a) (Box 2.1). These cases call for careful analysis in future work.

Box 2.1 National urban policy in the context of the United States

The United States does not have a national urban policy. In the United States, city and regional planning, land use management, and implementation of urban planning principals are predominantly undertaken by state and municipal governments. The US federal government structure assigns most responsibilities to state governments, other than those which are reserved for the federal government, including constitutional issues, inter-state issues, and foreign affairs, foreign trade, defence, military, etc.

Although the US federal government does set national policy for certain local, domestic issues, with regards to land use, urban planning, and community development, there is a long history of strong local control; therefore, the responsibility for these issues falls to the state governments – and is granted by the states to local governments. This allows for both local and direct rule – where decision makes are more directly connected to the residents they serve, allowing them to be better aware of local conditions and more responsive to local needs and concerns. This also allows for a variety of initiatives, policies, and levers to be developed. As such, the US essentially supports testing a large variety of approaches across the country, allowing cities and states to learn from each other – sharing and adopting practices that are more effective and efficient, or particularly applicable to a given context.

Although the United States does not have a single policy document regarding urban planning, the US federal government nevertheless does promote strong urban planning principles through a combination of policies and programmes across different federal agencies. For example, many federal government programmes that provide funding to state or local governments, require municipal or state governments to document that they have undertaken public participation as part of their local planning processes, and have considered public input in those processes. Also, and importantly, the US federal government replies on and supports state and municipal governments in their roles leading urban and community planning at the local level.

2.2 Definition of NUP

In the context of this report, a NUP is defined as: "[a] coherent set of decisions derived through a deliberate, government-led process of coordinating 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, 2014b). This is in line with OECD's diagnostic framework on NUPs, which highlights the need for an evidence-based, whole-of-government approach to the full range of policies that can profoundly shape urban development, and to assess the degree of policy coherence with respect to five areas: money, place, connections, people and institutions (OECD, 2014; OECD, 2015d).

2.3 Data collection and analysis

The data used in this study is drawn from UN-Habitat's regional studies on the state of NUPs (UN-Habitat, 2017a; 2017b; 2017c; 2018a, forthcoming; 2018b, forthcoming) and from the OECD report *National Urban Policy in OECD Countries* (OECD, 2017a).
The regional studies conducted by UN-Habitat consist of a series of case studies of the NUPs in each region. Data was collected from a review of academic and institutional literature, as well as of the relevant governmental documents and laws concerning NUPs. For the major case studies, interviews with key respondents from national governments and/or academic institutions were also conducted.

Since the regional studies were conducted in different time periods between 2015 and 2016 based on the data which were available at that time, the baseline of the information may vary across countries. As for the OECD publication, the initial assessment was conducted during the summer 2016 and cross-checked with the respective countries to ensure accuracy through discussion and approval within the OECD Regional Development Policy Committee and the OECD Working Party on Urban Policy.

2.4 Form of NUP

The evaluation of a NUP is a developing area of policy analysis. The evaluation of the form of a NUP is particularly so that it entails room for interpretation and it requires a close degree of co-operation with each country's government. In the first attempt at assessing NUPs at the global scale, the approach for classifying a NUP by form in this study is intentionally broad so as to give a broad picture within the limited time and resource available.

Hence, two forms of NUPs are proposed: "explicit" and "partial". Explicit NUPs are observed where a policy has a title of "National Urban Policy" or a variant such as "National Urbanisation Policy" or "National Urban Strategy" or "National Urban Development Strategy". Partial NUPs refer to a policy form in which many of the elements of a NUP exist but they are not yet brought together as a formal, or "explicit", NUP. This distinction may be more conceptual and organisational, rather than a definitive difference, but it is ultimately useful to review the degree of clarity with which a NUP is spelled out. Some partial NUPs have the potential to achieve the overall outcomes of an explicit NUP but without the deliberate framing as such. However, a more clearly formulated NUP could be expected to imply a larger degree of coherence of different urban policies undertaken at the national level (OECD, 2017a).

2.5 Stage of NUP

A key criterion for the evaluation of NUPs is the stage of policy development. This study adopts the stages of NUP based on UN-Habitat's Guiding Framework on NUP (UN-Habitat, 2015): feasibility, diagnosis, formulation, implementation, and monitoring and evaluation. The guiding framework was based on lessons learnt from those countries that have already adopted a NUP.

2.6 Thematic scope of NUP

This study assesses the thematic scope of NUPs in five policy sectors: economic development,

spatial structure, human development, environmental sustainability and climate resilience. These sectors represent long-standing issues that governments, to a greater or lesser extent, have dealt with historically and currently, and reflect an array of challenges such as climate change. In the assessment, four categories are used: extensive, moderate, low and insufficient information.

The "extensive" indicator represents a strong policy commitment on the part of the national government that is also integrated into a NUP and efforts such as objectives, rationales and specific policies. "Moderate" levels indicate relative attention to policy area, such as the presence of policy statements and objectives, but without signalling specific guidelines for action or clear implementation plans. The "low" category indicates either the absence of a policy addressing specific areas, or the presence of sectorial policies unconnected to the over-arching NUP. "Insufficient information" indicates that insufficient policy material was available at the time of finalising this study and indicates the need for information gathering in the future.

2.7 Governmental authority in charge of NUP

This study also analyses the presence of a governmental authority in charge of the NUP, identifying the type of national urban agency in place. The following four categories are used: specialised urban agency, general national planning authority, subnational planning authority and insufficient information/not applicable. A specialised national agency has a specific and dedicated role in overseeing urbanisation at the national level and leading the NUP processes. In case such a specialised agency does not exist, a general national planning authority overseeing national development and planning could take on the responsibility of NUPs as a part of a wide range of other policy matters. In some countries, a subnational planning authority can also be in charge of the NUP processes. The report states "insufficient information" or "not applicable" when insufficient policy material was available at the time of finalising this study or when none of the above categories can be applied, and indicates the need for information gathering in the future.

2.8 Qualitative analysis

The quantitative assessment of NUPs described above was complemented by qualitative assessment of the following five areas identified as key factors for a successful NUP by UN-Habitat (UN Habitat, 2015): goals and objectives (see Chapter 4), institutional arrangements (Chapter 5), stakeholder engagement (Chapter 5), commitment of resources (Chapter 6) and policy instruments (Chapter 6). As quantitative monitoring measures for these areas were not available at the time of this study, qualitative assessment is crucial to avoid overlooking important trends in these areas.

For each area, qualitative assessment was undertaken in two categories: priorities and challenges. The "priorities" highlight particular sectoral areas that receive greater policy attention while the "challenges" provide wider contextual information on the current economic, social or environmental problems facing countries. The assessment was based on desk research of NUPs at regional scale and some interviews with relevant urban actors. The result of the qualitative assessment in these areas will not only inform broad policy challenges priorities but will also provide useful information for further development of the monitoring methodology in the future.

Chefchaouen, Morocco ©Jean-François Gornet

3

FORM AND STAGE OF NATIONAL URBAN POLICY

This chapter presents the results of the analysis of the identified 150 NUPs on the form (explicit or partial) and stages (feasibility, diagnosis, formulation, implementation, and monitoring and evaluation), based on the methodologies described in Chapter 2. It consists of three sections. Section 3.1 summarises the key findings of the chapter. Section 3.2 briefly outlines the form of NUPs at the global scale and per region. Section 3.3 focuses on the stages of NUPs, at the global scale and per region. It also analyses the stages of NUPs disaggregated by form of NUP. Section 3.4 interprets the results and makes conclusions.

3.1 Key findings

- Of 150 identified NUPs, 76 are explicit NUPs, accounting for slightly more than half (51 per cent) of all NUPs.
- The regions with the highest adoption rates of explicit NUPs are the Arab States region (71 per cent), followed by Africa (44 per cent) and Asia and the Pacific (44 per cent).
- In terms of the stages, 48 per cent of all NUPs are in the implementation stage.
- The number of countries engaged in the implementation or monitoring and evaluation stages is 92, representing 61 per cent of all NUPs.
- The regional breakdown demonstrates substantial variation by region in the stage of NUP. Most of NUPs in the Europe and North American region and the Latin America and the Caribbean region are already in advanced stages, with 82 per cent and 74 per cent of NUPs, respectively, already at or beyond the implementation stage.
- In contrast, a large proportion of NUPs in the Arab States region are in their early stages (feasibility, diagnosis and formulation), representing 65 per cent in the region. Similar trends are observed in Africa (45 per cent) and Asia and the Pacific (38 per cent).
- Globally, a majority (51 per cent) of explicit NUPs are in the early stages (feasibility, diagnosis and formulation). In contrast, a great majority of partial NUPs (74 per cent) are already being implemented.

3.2 Form of NUP

The NUPs identified worldwide are evenly divided between partial and explicit NUPs. Of 150 identified NUPs, 76 are explicit, accounting for slightly more than half (51 per cent) of all NUPs (Figure 3.1).

The regional breakdown illustrates that the Arab States region leads in the rate of explicit NUPs (71 per cent of total NUPs), followed by Latin America and the Caribbean (58% per cent), Africa (55 per cent) and Asia and the Pacific (51% per cent), while the Europe and North America region has the lowest rate, with less than half of its NUPs that are explicit (30 per cent) (Figure 3.2).

Figure 3.1 Form of NUP, Global Scale

n=150

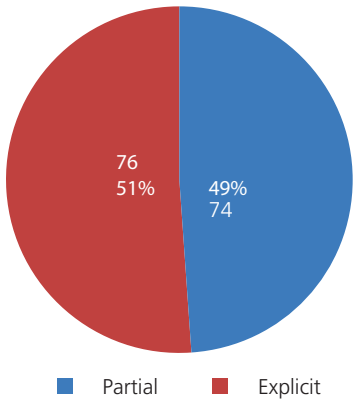


Figure 3.2 Form of NUP, Regional Scale
n=150

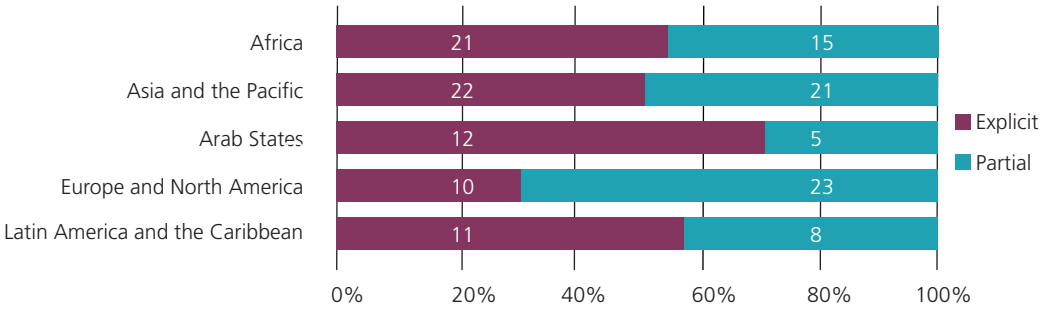
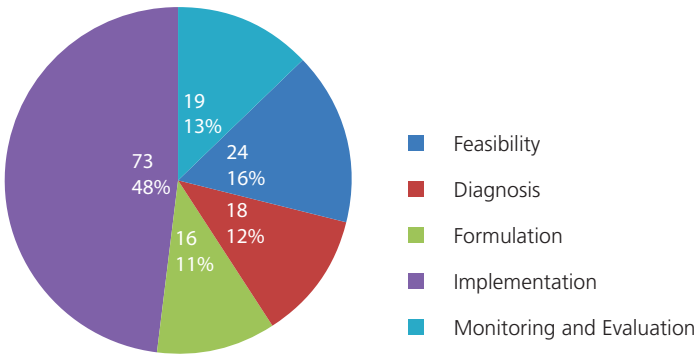


Figure 3.3 Stage of NUP, Global Scale
n=150



3.3 Stage of NUP

Of the 150 NUPs, 24 are currently in the feasibility stage, 18 in the diagnosis stage, 16 in the formulation stage, 73 in the implementation stage and 19 in the monitoring and evaluation stage (Figure 3.3). The NUPs in the implementation stage account for the largest share, representing 48 per cent of all NUPs. Together with the 19 NUPs in the monitoring and evaluation stage (representing 13 per cent of all NUPs), the number of NUPs engaged in or beyond the implementation stage is 92, representing 61 per cent of all NUPs. In contrast, 58 NUPs (39 per cent of all NUPs) are in the earlier stages of a NUP process (feasibility, diagnosis and formulation) before implementation.

The regional breakdown demonstrates substantial variation by region in the stage of NUP (Figure 3.4). In the Europe and North American region, 82 per cent of NUPs (27 out of 33) have already reached or are beyond the implementation stage. A similar trend is observed in the Latin America and the Caribbean region, with 74 per cent of NUPs (14 out of 19) at or beyond the implementation stage. In contrast, the majority of NUPs in the Arab States region are in their early stages, with 11 out of 17 NUPs in the feasibility, diagnosis or formation stage. The proportion of NUPs in these early stages is also high in Africa (45 per cent) and Asia and the Pacific (44 per cent).

Figure 3.4 Stage of NUP, Regional Scale

n=150

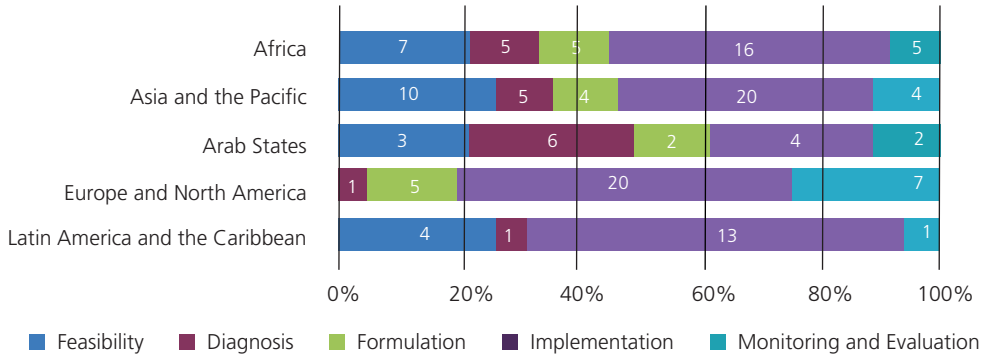


Table 3.1. Form and stage of NUP, global scale

Form of NUP	**Stage of NUP Number and proportion (%)**				
No. of NUPs	Feasibility	Diagnosis	Formulation	Implementation	Monitoring and Evaluation
EXPLICIT (76)	15 20%	13 17%	11 14%	27 36%	10 13%
PARTIAL (74)	9 12%	5 7%	5 7%	46 62%	9 12%
TOTAL (150)	24 16%	18 12%	16 11%	73 48%	19 13%

Disaggregated by form of NUP (explicit or partial), the data also reveals interesting trends (Table 3.1, Figures 3.5 and 3.6). The data at the global scale shows that a majority (51 per cent) of explicit NUPs are still in the early stages of NUP process with 15 NUPs (representing 20 per cent of all explicit NUPs) in the feasibility stage, 13 NUPs (17 per cent) in the diagnostic stage and 11 NUPs (14 per cent) in the formulation stage.

In contrast, a great majority of partial NUPs (74 per cent) are already being implemented, with 46 NUPs (62 per cent) in the implementation stage and nine NUPs (12 per cent) in the monitoring and evaluation stage.

Figure 3.5 Stage of NUP, by Form, Global Scale

3.4 Conclusion

The analysis of the forms of NUPs indicates a rise in explicit NUPs. While globally all NUPs are mostly in or beyond the implementation stage (61 per cent), this corresponds more to partial NUPs (74 per cent) than explicit NUPs (49 per cent). This is indicative of the traditional practice of managing urban development through various sectorial policies and programmes, and therefore the resulting existence of partial NUPs which, comparably, have been in place for longer than explicit NUPs. The fact that 51 per cent of explicit NUPs is currently in earlier development stages, as opposed to only 26 per cent of partial NUPs, indicates a growing trend towards explicit NUPs.

As expressed in Chapter 2, some partial NUPs may have the potential to achieve the overall outcomes of an explicit NUP, however, globally, explicit NUPs have been recognised by experts as being more capable of bringing more effective vertical and horizontal coordination to manage urbanisation (OECD, 2017a; United Nations, 2016a; UN-Habitat, 2015).

This rise in explicit NUPs also seems to correspond to regions with rapid urbanisation rates, such as the Arab States, Africa and Asia and the Pacific regions, which share the highest proportions of explicit NUPs and of NUPs in the earlier stages of development.

Hamburg, Germany © [illegible]

4

THEMATIC SCOPE OF NATIONAL URBAN POLICY

Urbanisation is a multi-faceted process which requires NUPs to have a multi-sectoral perspective. A NUP is unlikely to be successful across the entire range of issues associated with urbanisation if it confines its scope to specific sectors, such as traditional urban planning and infrastructure development. Understanding the extent to which a NUP includes content covering a broad array of urban issues, and how it integrates them into the NUP, is an important component of NUP assessment, which informs further development and refinement of NUPs.

This chapter assesses the extent to which NUPs cover a broad array of themes. Since such an assessment is only possible when a NUP reaches a certain development stage in which the thematic scope becomes clear, this chapter only deals with the 108 NUPs that are in the formulation stage or beyond. The chapter is comprised of four sections. Section 4.1 summarises the key findings. Section 4.2 presents quantitative data on the levels of attention given to selected themes, at the global and regional scales, as well as according to the form of NUP. As defined in Chapter 2, the following five policy sectors are considered: economic development, spatial structure, human development, environmental sustainability and climate resilience. Section 4.3 presents a qualitative assessment of the goals and objectives of NUPs at the regional scale. Section 4.4 interprets the results and makes conclusions. A detailed breakdown of each country's NUP level of attention per theme can be found in Appendix C.

4.1 Key findings

- Of the five selected policy sectors, spatial structure and economic development are two sectors which are most extensively covered by NUPs at the global scale. Of the 108 NUPs analysed, 47 (44 per cent) and 43 (40 per cent) of NUPs give extensive attention to spatial structure and economic development respectively.

- Climate resilience and environmental sustainability are the areas that receive the weakest degree of attention. Only 11 (10 per cent) and 28 (26 per cent) of NUPs giving extensive attention to these areas respectively.

- At the regional scale, the Europe and North America region shows a stronger focus on economic development, while the Asia and the Pacific region, the Arab States region, and the Latin America and the Caribbean region focus more on spatial structure. African and Latin American and Caribbean NUPs are characterised by a high level of attention to human development and show the lowest amount of attention to environmental sustainability.

- Explicit NUPs tend to exhibit higher and more balanced levels of attention to themes, although climate resilience and environmental sustainability are relatively less prioritised.

- In addition to the five themes, a variety of thematic scopes are observed in NUPs of different regions: food security, urban poverty and informal settlement (Africa), urban service delivery and infrastructure (Asia and the Pacific), and rights and access to land (Latin America and the Caribbean). This demonstrates that the substantive content of NUPs is highly contingent on regional and national contexts.

- A NUP with a clear multi-sectoral perspective may be more likely to pursue policy implementation effectively by working in conjunction with various sectorial policies and strategies affecting urban areas.

4.2 Levels of attention given to five selected themes

Figure 4.1 presents the levels of attention given to the five key themes at the global scale. At a glance, it shows that spatial structure and economic development are two sectors most

extensively covered by NUPs. In contrast, the two themes receiving the least attention are climate resilience and environmental sustainability. Below are the detailed assessments by theme:

- Economic development: Of the 108 NUPs analysed, more than half (59 per cent) have been judged to have either an extensive or moderate focus on economic development (40 per cent and 19 per cent, respectively). However, 27 per cent of the NUPs dedicate only low levels of attention to economic development.

- Spatial structure: most of the analysed NUPs have dedicated the greatest attention to the spatial structure of urbanisation. The data shows that 68 per cent of these NUPs include an extensive (47 NUPs, 44 per cent) or moderate (26 NUPs, 24 per cent) degree of focus on spatial development questions.

- Human development: two-thirds of the analysed NUPs (66 per cent) dedicate either moderate (33 per cent) or extensive (33 per cent) amounts of attention to this topic. A relatively small proportion of NUPs offer only a low level (14 per cent) of engagement with human development issues.

- Environmental sustainability: relatively low levels of attention are dedicated to this theme compared with previous themes. Of those NUPs assessed for this chapter, 26 per cent gave an extensive degree of attention to environmental sustainability, and 29 per cent offered a moderate level of attention. A high proportion (28 NUPs, 26 per cent) of NUPs gave low levels of attention to environmental sustainability.

- Climate resilience: the NUPs assessed for this chapter gave negligible attention to this theme. Just 11 NUPs (10 per cent) were assessed as offering extensive attention to climate resilience questions, while a modest 19 per cent were assessed as offering moderate attention to this issue. In contrast, 56 NUPs (52 per cent) dedicated low levels of attention to climate resilience.

Figure 4.1. Levels of attention given to selected themes in the NUPs in the formulation stage or beyond, global scale

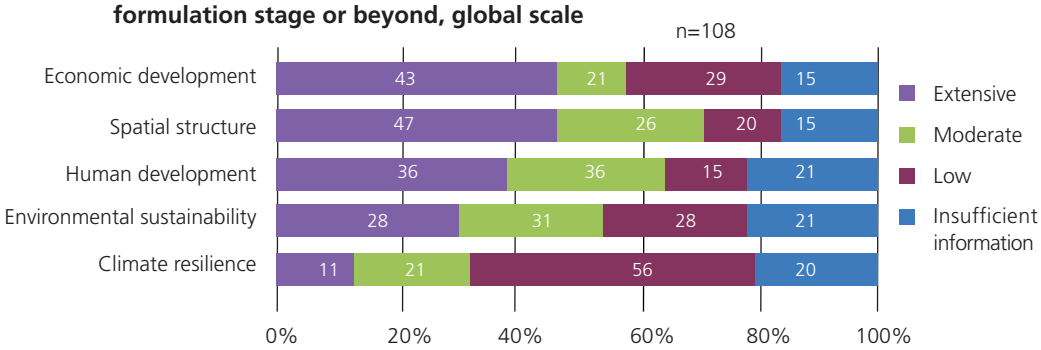


Table 4.1 details the regional breakdown. In addition, the percentages of NUPs with extensive or a low focus on each theme per region are illustrated (Figures 4.2 and 4.3). The data show that, in terms of extensive focus, Europe and North America, and Asia and the Pacific reflect the global trend, focusing most on economic development and spatial structure. Europe and North America shows a stronger focus on economic development, while Asia and the Pacific focuses more heavily on spatial development. The latter region pays almost the same amount of attention to human development as to economic development. In Africa, these are the two dominant themes. Latin America and the Caribbean's and Arab States' NUPs also pay the most amount of their attention to spatial structure.

Table 4.1 NUP's Attention Given to Selected Themes, Regional Scale

n=108	Thematic scope	Levels of attention, number of NUP and proportion (%)			
		Extensive	Moderate	Low	Insufficient information
Africa (26)	Economic development	9 (35%)	1 (4%)	9 (35%)	7 (27%)
	Spatial structure	6 (23%)	5 (19%)	9 (35%)	6 (23%)
	Human development	10 (38%)	4 (15%)	5 (19%)	7 (27%)
	Environmental sustainability	3 (12%)	3 (11%)	13 (50%)	7 (27%)
	Climate resilience	1 (4%)	2 (7%)	16 (62%)	7 (27%)
Asia and the Pacific (28)	Economic development	11 (39%)	7 (25%)	9 (32%)	1 (4%)
	Spatial structure	17 (61%)	4 (14%)	5 (18%)	2 (7%)
	Human development	9 (32%)	14 (50%)	4 (14%)	1 (4%)
	Environmental sustainability	10 (36%)	13 (46%)	4 (14%)	1 (4%)
	Climate resilience	4 (14%)	10 (36%)	13 (46%)	1 (4%)
Arab States (8)	Economic development	1 (13%)	3 (37%)	4 (50%)	0 (0%)
	Spatial structure	4 (50%)	3 (37%)	1 (13%)	0 (0%)
	Human development	1 (13%)	3 (37%)	1 (13%)	3 (37%)
	Environmental sustainability	2 (25%)	2 (25%)	1 (13%)	3 (37%)
	Climate resilience	1 (13%)	0 (0%)	3 (38%)	4 (50%)
Europe and North America (32)	Economic development	14 (44%)	4 (12%)	7 (22%)	7 (22%)
	Spatial structure	11 (34%)	9 (28%)	5 (16%)	7 (22%)
	Human development	9 (28%)	10 (31%)	3 (9%)	10 (31%)
	Environmental sustainability	10 (31%)	5 (16%)	7 (22%)	10 (31%)
	Climate resilience	5 (16%)	6 (19%)	13 (41%)	8 (25%)
Latin America and the Caribbean (14)	Economic development	8 (57%)	6 (43%)	0 (0%)	0 (0%)
	Spatial structure	9 (64%)	5 (36%)	0 (0%)	0 (0%)
	Human development	7 (50%)	5 (36%)	2 (14%)	0 (0%)
	Environmental sustainability	3 (21%)	8 (57%)	3 (21%)	0 (0%)
	Climate resilience	0 (0%)	3 (21%)	11 (79%)	0 (0%)

Figure 4.2 Themes that Receive Extensive NUP Attention per Region, Percentage

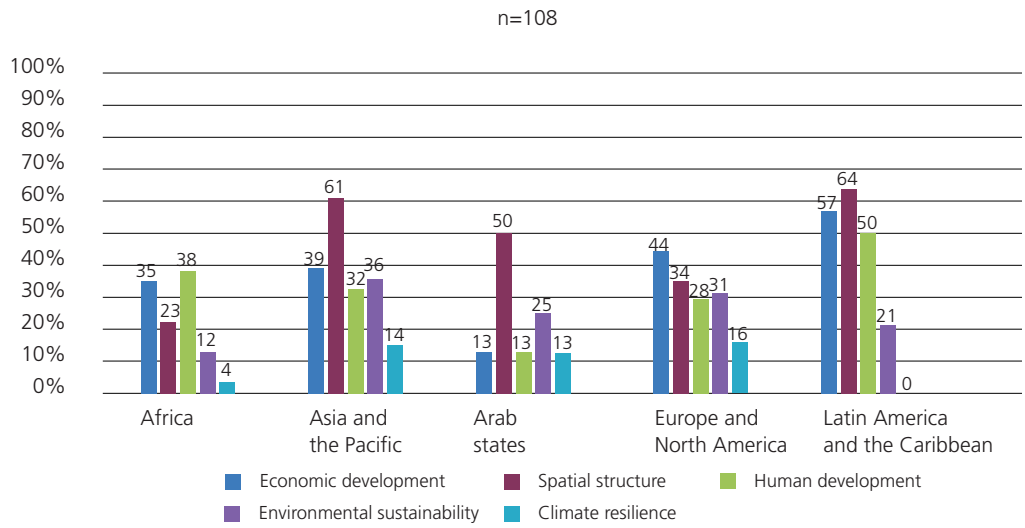
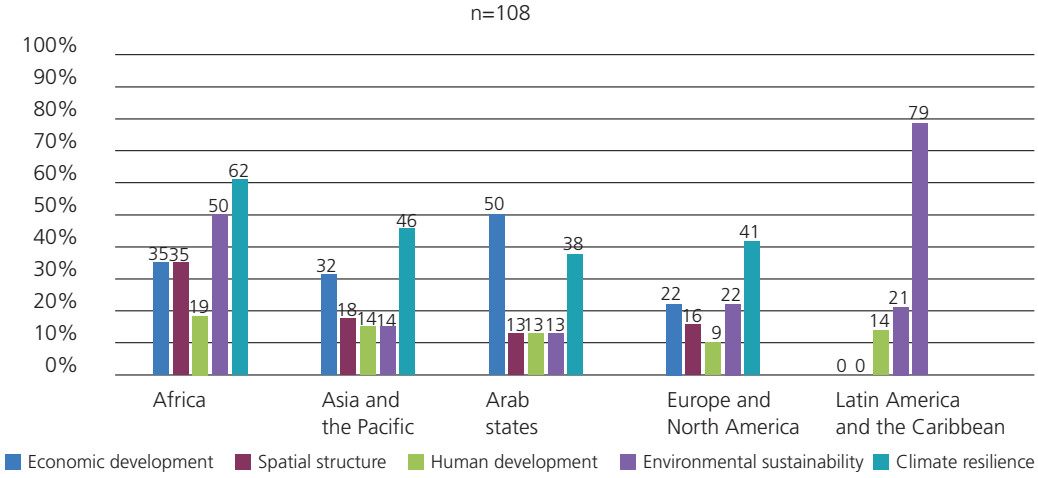


Figure 4.3 Themes that Receive Low NUP Attention per Region, Percentage



The global and regional scale results are comparable in that low attention is currently given to climate resilience in most NUPs. Environmental sustainability also gets low attention globally, although the results are more diverse across regions. For example, the Asia and the Pacific region pays relatively high attention to this theme (36 per cent of the NUPs give extensive attention and only 14 per cent of the NUPs give low attention). In contrast, African NUPs give the lowest amount of attention to environmental sustainability (only 12 per cent of the NUPs give extensive attention and 50 per cent of the NUPs low attention). Figures 4.4 and 4.5 show the percentage of the NUPs paying extensive and low attention to the selected themes by form of NUPs (explicit or partial) at the global scale. Of the 108 NUPs in the formulation stage or above, 48 NUPs are identified as explicit and 60 are partial. Explicit NUPs show a higher extensive thematic attention to all the selected themes than partial NUPs, with economic development, spatial structure and human development equally drawing the extensive attention of half of explicit NUPs. Explicit NUPs pay less extensive attention to environmental sustainability and climate resilience, which is consistent with Figure 4.1, but to a much lesser extent than with partial NUPs.

Figure 4.4 Percentages of NUPs paying extentive attention to selected themes, by form, global scale

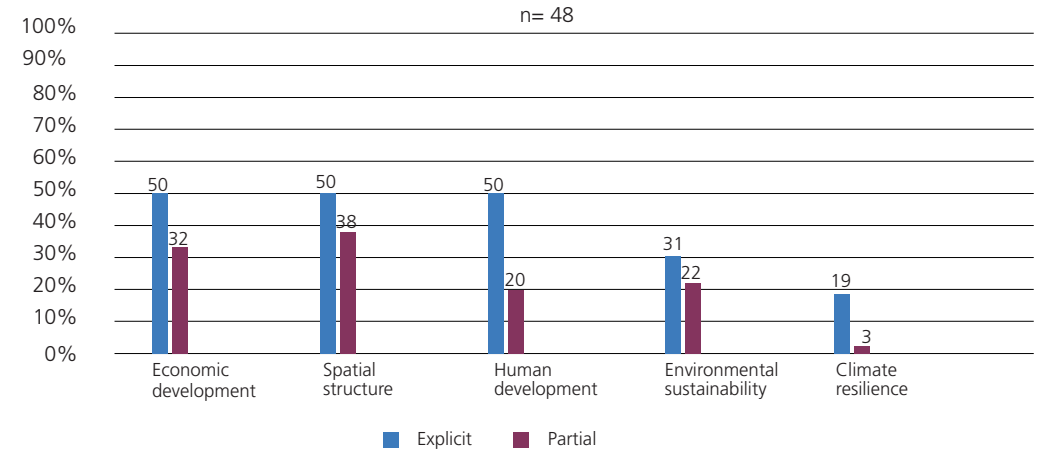
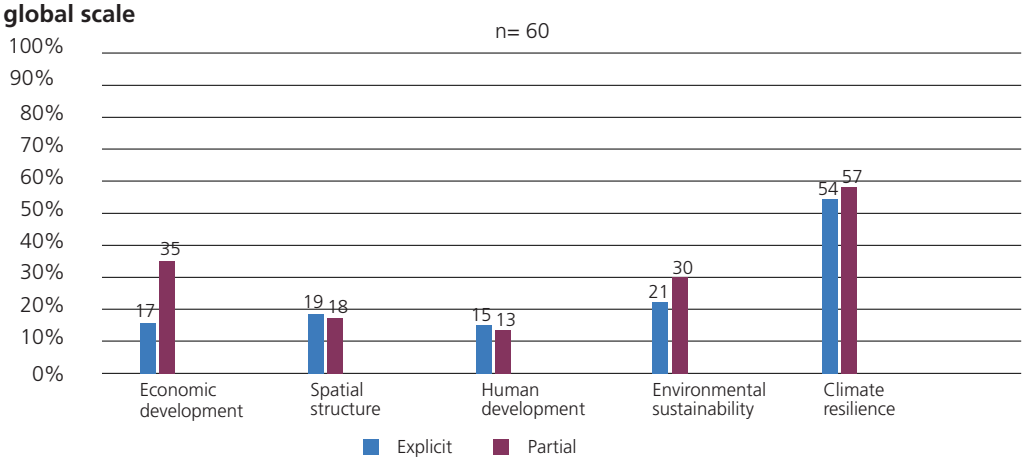


Figure 4.5 Percentages of Explicit and Partial NUPs paying low attention to selected themes, global scale



This implies that explicit NUPs are, in practice, covering a wider range of themes than partial NUPs. This thematic picture of NUP attention only considers the 108 NUPs that are in the formulation stage or beyond, out of 150 NUPs, and therefore does not reflect the emerging dynamics of 42 NUPs in elaboration.

This is particularly relevant in the case of the Arab States region, where more than half of the NUPs are in the feasibility and diagnosis stages, and for which the heavy thematic focus on spatial structure illustrates its tradition of spatial development planning in past decades. Similarly, as indicated in Chapter 3, it is important to note that a larger proportion of explicit NUPs (28 out of 76 NUPs, 37 per cent) are in elaboration stages than partial NUPs (14 out of 74 NUPs, 19 per cent), thus outside the scope of this analysis.

4.3 Goals and objectives

This section presents a qualitative assessment of the goals and objectives of NUPs at the regional scale. First, the section takes a closer look at how the selected five themes are addressed in NUPs of different regions. A few country examples are also documented.

Second, the section provides an overview of the more varied and context-specific challenges and priorities in terms of defining clear goals and objectives of NUPs at the regional scale, and discusses the need for strategic and integrated NUP approaches.

NUP approaches to selected themes

Economic development

The New Urban Agenda highlights sustainable and inclusive urban economies as one of its key principles, promoting the agglomeration benefits of well-planned urbanisation; among these are high productivity, competitiveness and innovation, with full, productive and decent employment for all. NUPs are a key tool to link urbanisation management to national development (United Nations, 2016b). As stated in the Policy Unit 3 Policy Paper, "an ineffective NUP has a weak connection between economic development policies and other urban policies, resulting in a silo approach to governance" (United Nations, 2016a).

It is clear that whether economic development is a policy priority in a NUP or not, linkages to broader economic development policies are a necessary prerequisite for a NUP to capitalise on the economic opportunities of urbanisation. Countries can work to make direct and indirect linkages between NUPs and broader economic development policies and national development plans. As indicated in the previous section, economic development is one of the most

emphasised themes of the NUPs. It is not surprising that many NUPs address this theme, because it is widely recognised that cities are engines of national economic growth, and because maximising the potential economic benefits of urbanisation is, indeed, the main argument and the first incentive for countries to proactively manage urbanisation through national policies. Economic ambitions vary across countries, from poverty alleviation to job creation, competitiveness and innovation. Rwanda's NUP, the 2015 National Urbanisation Policy, is an example of a proactive and anticipatory strategy to harness and optimise future urbanisation for national economic development. In other words, it is not just an instrument to control and repair the negative consequences of urbanisation, but is a transformative and future-oriented strategy to achieve overall national development goals (Box 4.1).

Box 4.1 National Urban Policy and Economic Development, Rwanda

The level of urbanisation in Rwanda is still relatively low, with 29 per cent of the population living in urban areas in 2015, and the agricultural sector accounting for 72 per cent of employment in 2012. This can be explained by the development policy approach adopted after independence, which promoted the retention of residents within rural areas and the limitation of the size of urban administrations. The 1994 genocide also greatly disrupted the country's demographic and socio-economic development. This lack of attention to urbanisation also engendered unplanned and unbalanced urban development, with 53 per cent of households living in informal settlements (World Bank, 2015), and 50 per cent of the urban population concentrated in the capital, Kigali. In recent years, urbanisation has accelerated in Rwanda, with an annual rate of 4.1 per cent, and will continue to increase with demographic growth, rural-urban migration and the reinstallation of displaced persons and refugees.

The government's approach to addressing the challenge of urbanisation has shifted profoundly since the 2000s; it no longer considers urbanisation as a phenomenon to contain and mitigate, but one to plan for, accommodate and even encourage as an engine of growth. Indeed, Rwanda's urban policy stands out for its positive and anticipatory approach, embracing urbanisation as a key priority area in national development strategies. Rwanda's national development strategy: Vision 2020, elaborated in 2000, seeks to stimulate economic growth in order for the country to achieve middle income status. The policy considers urban development to be a key driver of economic growth, and has a target of a 35 per cent urbanisation rate by 2020. Another central strategy supporting Vision 2020 is the Second Economic Development and Poverty Reduction Strategy, 2013-2018 (EDPRS2), which aims to accelerate progress towards middle income status and provide a better quality of life for all Rwandans. Urbanisation is a major component of the primary pillar of economic transformation, with priorities such as the development of sustainable cities and villages, the transformation economic geography through urbanisation and the promotion of secondary cities as centres of non-agricultural economic activities. Along with the Urbanisation and Rural Settlement Sector Strategic Plan, the EDPRS2 identifies six secondary cities in which to prioritize public investment to enable them to accommodate urban population growth and become economic poles.

Rwanda adopted an explicit NUP in 2015: the National Urbanisation Policy. The NUP articulates clearly the means to harness the economic opportunities of urbanisation, describing it in its vision as "an engine of economic development and sustainable human settlements". Its stated rationale aims to guide urbanisation "to stand as a strategic driver of economic development and a panacea for demographic pressures, employment and sustainable land use"; to strengthen a balanced system of urban areas and local governance structures for strategic and synergic local economic development; and to densify urban areas

for more efficient and adapted services and infrastructure investments and environmental preservation. To achieve this, the strategy is founded on four pillars: coordination, the increased institutional governance for multi-level governance; densification, promoting compact and integrated urban forms for economies of agglomeration; conviviality, meeting social needs for quality of life and equity; and productivity, ensuring urban environments enabling businesses.

The relatively late onset of the urban transition in Rwanda was seized on as an opportunity by the government to appropriately and proactively plan for urbanisation, pre-empt potential deficiencies, and anticipate opportunities to spur national development. However, given the importance placed on urban economies and the territorial balance of economic development, successful implementation of the national urban policy will rely heavily on local governments and their institutional and technical capacity. This challenge is acknowledged in the National Urbanisation Policy and will require increased local ability to raise fiscal revenues, better access to urban planning data and analytical tools, sharing of management practices, and citizen participation in policy making.

Key lessons:

- A low level of urbanisation can be a real opportunity to strategically plan and manage future urban development.

- The good management of urbanisation is an indispensable requirement for economic development, as is illustrated by the central role of urban development strategies in Rwanda's national development strategies.

- Even with economic development as an ultimate objective, a NUP still has to integrate and coordinate different sectors, such as urban form, social services and environmental protection; and governmental levels, by increasing the capacity of local governments to participate in and implement policies.

Source: UN-Habitat (2017b), National Urban Policy: Sub-Saharan Africa Report, UN-Habitat, Nairobi; Republic of Rwanda (2015), Rwanda Report for Habitat III. Ministry of Infrastructure: Kigali.

Spatial Structure

The NUA recommends integrated urban and territorial approaches (United Nations, 2016b) and territorial policies and plans that are integrated, polycentric and balanced (United Nations, 2016b). The Action Framework for the Implementation of the New Urban Agenda explains that NUPs can address the persistence of poverty, inequalities, socio-economic exclusion, spatial segregation and environmental degradation by ensuring that development is spatially balanced.

A key item identified for NUPs is to adopt a framework to reduce urban and territorial disparities through productive and inclusive systems of cities and urban rural linkages, as well as an equitable provision of and access to infrastructure, public goods and services, national and regional economic development, resilience, environmental protection and adequate housing (UN-Habitat, 2017d).

Spatial structure has traditionally been the primary concern of urban management and this is reflected in the high level of extensive attention still given to it by NUPs, as presented in the previous section. All regions face a wide array of spatial policy issues, though there are many similarities among them. A principal concern commonly observed in many NUPs is balanced spatial development to address economic, social and environmental goals; for instance curbing urban expansion to protect agricultural land (in Africa and the Arab States), diverting development pressure away from dominant urban centres through the development of new towns (Arab States) or developing a better system of cities (Latin America and the Caribbean) (UN Habitat, 2017a; 2017b; 2018a, forthcoming).

Fostering urban-rural linkages is also a policy priority in regions such as Asia and the Pacific and Africa. In some regions, spatial policy issues also include questions of land-use delineation as well as the legal underpinnings of land tenure and land registration systems. The Asia and the Pacific region, where land is often held in traditional forms of tenure, is an example of a region that faces such spatial integration problems. In the Europe and North America region, spatial problems include reducing dispersed ex-urban development and reducing intra-metropolitan and intra-regional economic inequalities (UN Habitat, 2018b, forthcoming).

Human development

Human development is prioritised in the NUA with its vision of *cities for all*, its principle of l*eave no one behind*, and its transformative commitment to *sustainable urban development for social inclusion and ending poverty* (United Nations, 2016b). For NUPs, this entails a wide range of actions to ensure urban residents have equal rights, opportunities and access to democratic participation, infrastructure, basic services, and to adequate, affordable and decent housing as a component of the right to an adequate standard of living. It also means ensuring the most vulnerable populations are considered and engaged in the NUP, even undertaking targeted actions to facilitate their involvement (UN-Habitat, 2016d).

NUP priorities in human development can vary according to regional demographic contexts: poverty alleviation, slum upgrading and prevention in Africa, the Arab States, and Asia and the Pacific; reducing inequalities and providing social housing in Latin America and the Caribbean; or fostering social cohesion and accommodating an ageing population in Europe and North America (UN Habitat, 2017a; 2017b; 2017c; 2018a; 2018b, forthcoming). Common concerns include the prevention of socio-economic and spatial exclusion, and particularly the provision of adequate and affordable housing, which is a challenge in urban areas across the globe. In fact, tackling a growing housing deficit caused by rapid urbanisation has sometimes been the catalyst for the NUP development process, as often observed in countries in the Arab States and Latin America and the Caribbean regions.

NUPs in Latin America and the Caribbean region are particularly interesting for their strong focus and comprehensive and innovative conception

of human development, after having fully experienced a very rapid and uncontrolled urban transition. While policy responses were initially focused on housing provision, the exacerbation of inequalities and the degradation of the urban environment, combined with economic stabilisation and democratisation, have made the countries in the region focus more on quality of life and the rights of urban citizens, with more comprehensive and integrated NUPs. For example, in Ecuador, the historically constitutional recognition of the "right to the city" has led to the integration of principles of social equity, social participation and cultural diversity within legal, institutional and governance frameworks of urban policies (Box 4.2).

Box 4.2 National Urban Policy, Social Development and 'Right to the City', Ecuador, 2015

The development of a NUP in Ecuador is characteristic of a regional trend in Latin America that started in Brazil and Colombia. Major changes have been introduced in urban policies, governance and legislation in the context of a process of democratization following regime and constitutional changes.

Ecuador moved away from a previous urban model driven by speculative and unsustainable urban growth towards one centred on a comprehensive conception of human development, guaranteed at the constitutional level. Its 2008 Constitution introduced an innovative set of rights related to urban development, such as the right of nature, the right to safe, healthy, adequate and dignified housing (article 30) and, originally, it includes the right to the city. Article 31 stipulates that "the people have the right to fully enjoy the city and public spaces under the principles of sustainability, social justice, respect for the different urban cultures, and balance between urban and rural spaces. The right to the city is based on its democratic management, on the social and environmental function of property and the city, and the full exercise of citizenship". These constitutional principles demonstrate political commitment to ensuring the social and democratic rights of urban citizens, and enable their effective implementation.

Those principles were then integrated into the legal, institutional and governance framework for urban policies. The National Development for Good Living 2013-2017 introduced the objective of "good living", entailing such principles as social equity, social participation and cultural diversity. Organic laws reinforced decentralisation to the municipalities and metropolitan areas, made their land-use plans mandatory and binding, and introduced a public finance instrument making access to public resources conditional to the development of a land-use plan. The Organic Law on Territorial Occupation and Land Use and Management of 2016 further strengthened the concepts of a right to the city and of the social and environmental function of property, and introduced mechanisms for more transparency, accountability and citizen participation.

As an inherent aspect of the right to the city, citizen participation became a feature of urban governance, with the engagement of civil society in the elaboration of the NUP, and a National Decentralised Participatory Planning System ensuring that citizens influenced urban policies at the local levels. A good example of the concrete results of this new orientation of urban policy in Ecuador is the drastic reduction of its social housing deficit by 50 per cent between 2006 and 2015. This commitment to social housing construction can be attributed to the emphasis of the general interest implied in the concept of the social and environmental function of property, and the ability given to society to influence urban policies.

Key lessons:

- The constitutional recognition of the 'right to the city' is an example of urban principles directed towards the urban poor and often neglected stakeholders in NUP
- The introduction of urban principles of human development in the constitution can effectively support NUPs in ensuring their implementation by making them a priority in the legal hierarchy
- The active participation of citizens can further support NUPs by providing them with democratic legitimacy

Source: UN Habitat (2018a, forthcoming), National Urban Policy, Latin America and the Caribbean Report. UN Habitat, Nairobi; Government of Ecuador (2015), Informe Nacional del Ecuador. Tercera Conferencia de Naciones Unidas Sobre la Vivienda y el Desarrollo Urbano Sostenible (Habitat III) Ministry of Urban Development and Housing: Quito.

Environmental sustainability

Environmental sustainability is a crucial urban issue, recognised not only in SDG11, "make cities and urban settlements inclusive, safe, resilient and sustainable", but also in the NUA's transformative commitment to an environmentally sustainable and resilient urban development (United Nations, 2016b). This entails promoting sustainable patterns of compact, dense and mixed urban development and, more generally, ensuring sustainable consumption and production patterns, the efficient and responsible use of resources, protecting biodiversity and green spaces, curbing pollution and harnessing the opportunities of new technologies and clean energies.

While sustainable development and its environmental dimension is a major global commitment, the current low level of attention in NUPs to this theme shows that it is still the object of general environmental policies rather than an urban policy priority. At a regional scale, efforts for environmental sustainability observed in NUPs include: curbing urban sprawl and reverting to a more compact city model in the Latin America and the Caribbean region (UN Habitat, 2018a, forthcoming); protecting agricultural land from urban expansion; or promoting cities as engines of a high tech and knowledge economy to move away from the economic reliance on fossil fuel in the Arab States (UN Habitat, 2017a). Africa, with its recent onset of urbanisation, has the opportunity to proactively embrace sustainable urban development patterns without having to retrofit and remedy the negative environmental externalities of uncontrolled urbanisation observed in other regions. In Asia and the Pacific, some NUPs include the development of green technologies, smart cities and renewable energies (UN Habitat, 2018b, forthcoming). As for Europe and North America, the adherence of European Union members to the Leipzig Charter on Sustainable European Cities in 2007 has been an encouraging commitment to the development of NUPs for environmental sustainability and the implementation of SDG11.

Climate resilience

As with the issue of environmental sustainability, while commitment to climate change resilience is strong globally and cemented by SDG13 and the Paris Climate Agreement of the United Nations Framework Convention on Climate Change, it is even less of a focus in NUPs. This is a particularly striking absence given that urban areas are both the most responsible for and the most vulnerable to climate change. No urban areas are immune to this global threat, although their vulnerability can vary in nature by region. Africa and the Arab States, for instance, are at high risk of future food and water scarcity due to droughts brought about by temperature rise.

Coastal cities in Asia and the Pacific and Latin America and the Caribbean are also directly threatened by sea-level rise, which is a national policy concern (UN-Habitat, 2017a; 2017b; 2018a; 2018b, forthcoming). The New Urban Agenda, under its transformative commitment to an environmentally sustainable and resilient urban development (United Nations, 2016b), insists on the need to build urban resilience, reduce disaster risks, and mitigate and adapt to climate change. NUPs should help to adapt climate mitigation and adaptation measures to urban areas. UN-Habitat provides guidance on how to mainstream climate change issues within NUPs.

Box 4.3 Recommendations for addressing climate change in NUP, proposed by UN-Habitat

Promote Low-Carbon Urban Development (Mitigation)

1) Encourage and support the development of local-level plans and strategies to reduce greenhouse gas emissions.

2) (i) Increasingly obtain energy from low-carbon and renewable sources, including via the decentralized or distributed provision of energy, while also (ii) promoting the more efficient consumption of energy.

3) (i) encourage development patterns that are more conducive to reduced greenhouse gas emissions, including by minimizing travel distances. At the same time: (ii) promote more sustainable modes of transport.

4) Reduce greenhouse gas emissions by promoting: (i) more sustainable designs and construction of new buildings, and (ii) retrofitting existing buildings.

5) Make municipal management of solid and liquid wastes more sustainable.

Build Climate Resilience (Adaptation)

6) Promote applied research into the risks associated with the impacts of climate change, as well as other hazards, in urban areas. Provide for the use of findings to inform decision-making.

7) Encourage and support the development of local-level climate change vulnerability assessments that include an analysis of climate resilience and adaptive capacity, to inform policy-making at all levels. Promote multi-hazard assessments.

8) Promote the mapping of hazards, including of climate-related hazards, which may evolve over time.

9) Plan human settlements, regulate land use and provide critical infrastructure and services in a way that takes into account risks and builds resilience, including climate resilience. To this end, encourage and support local-level plans and strategies to build climate resilience.

10) Prioritize actions that build the resilience of vulnerable and marginalized communities. When possible upgrade slums and informal settlements so as to build resilience to shocks and stresses, including those brought about by climate-change impacts.

11) As part of adaptation efforts, promote the protection and restoration of ecosystems and natural buffers.

12) Provide for regional planning as one means to protect ecosystems and guard against "mal-adaptation".

Address Urban Climate Governance

13) While encouraging local autonomy, coordinate national and local action in addressing climate change in urban areas. Undertake collaborative action when appropriate.

14) Provide resources for, and build the institutional capacity of, urban managers to address climate change.

15) Promote public awareness of climate change, including co-benefits and opportunities.

16) Ensure that national urban policies, laws, regulations, investment plans and so on are fully consistent with national policies for addressing climate change.

Source: UN-Habitat (2016c), Addressing Climate Change in National Urban Policies, UN-Habitat, Nairobi.

Priorities and challenges in defining goals and objectives of NUPs at the regional scale

The five selected themes in this chapter provide international benchmarks in terms of policy areas that are receiving more or less attention in NUPs, which can help national policymakers consider what efforts may be required to advance their NUPs to resolve their own urban challenges. However, the themes are not an exhaustive list or blueprint of what issues NUPs should focus on. As illustrated above, the range of urban policy issues needing attention also encompasses a variety of more specific and interconnected concerns such as housing and basic services provisions, urban rural linkages, cultural heritage or environmental conservation, which vary from one region to another according to their specific challenges and ambitions. Table 4.2 below presents an overview of priorities and challenges in defining goals and objectives of NUPs at the regional scale, based on qualitative assessment.

Some recurrences can be observed in thematic priorities, such as housing provision and economic growth, as well as in thematic challenges, such as climate change. At the same time, the table also sheds lights on more granular and regionally-specific topics, which are identified in the regional studies (UN-Habitat, 2017a; 2017b; 2017c; 2018a, forthcoming; 2018b, forthcoming). For example, in the Africa region, food security, urban poverty and informal settlement feature more prominently as policy objectives. In areas that have experienced rapid recent urbanisation, such as the Asia and the Pacific region, the NUP focus is on urban service delivery and the redress of infrastructure deficits to support economic development. In the Latin America and the Caribbean region, land issues appear in NUPs as there is a lack of clear provision for rights and access to land (Table 4.2)..

Table 4.2 Identified priorities and challenges in defining goals and objectives of NUPs, regional scale

Region	Thematic priorities of NUP	Thematic challenges in NUP
Africa	• Economic development and poverty eradication • Provision of adequate infrastructure and basic services • Curbing and upgrading informal settlements • Environmental protection • Urban-rural linkages and food security	• Rapid urbanisation outpacing policies and resulting in urban poverty and informal settlements • Urbanisation is caused by the push factor of rural poverty • Large urban youth cohorts lacking economic opportunities • Extreme vulnerability to climate change, particularly droughts causing food and water insecurity
Asia and the Pacific	• Urbanisation as a means of economic transformation • Improving the provision of housing and basic services • Improving land management • Balanced urban development and urban rural linkages • Promoting resilience	• Low level of urbanisation but current and projected rates are extremely high • Urban poverty and large proportions of slum dwellers • Vulnerability to natural risks and hazards, and to climate change, especially rising sea level and flooding
Arab States	• Promoting cities as engines of economic growth and diversification • Job generation for urban youth • Slum upgrading and provision of affordable and adequate housing • Heritage preservation and post-conflict reconstruction • Balanced territorial development, steering urban pressure away from agricultural land and primary cities, sometimes through new towns • Energetic and economic transition	• Rapid urbanisation and growth of informal settlements • Large urban youth cohorts demanding equal social, political and economic opportunities • Extreme vulnerability to climate change, particularly droughts, causing food and water insecurity • Political conflict, turmoil and large population displacements • Economic reliance on fossil fuels
Europe and North America	• Balanced national and regional development, sometimes restraining the growth of major cities • Promoting sustainable urban growth • Urban renewal strategies • Cities as engines of economic competitiveness and productivity	• Ageing population • Stagnating demography • Deindustrialisation
Latin America and the Caribbean	• Curbing the housing and social housing deficit • Strong and comprehensive commitment to urban quality of life, ensuring the right to housing and the right to the city • Promoting a compact model of city planning and curbing sprawl • Developing a national system of cities • Metropolitan level planning • Developing mass transport	• Rapid urbanisation has stabilised but caused unsustainable urban patterns • Extreme socio-economic and spatial inequalities • Development of large metropolitan agglomerations • Environmental degradation caused by unplanned urban growth • Explosion of vehicle use created traffic congestion and pollution • Vulnerability to natural risks and hazards, and to climate change, especially rising sea level

Sources: UN Habitat (2017a; 2017b; 2017c; 2018a, forthcoming; 2018b, forthcoming).

4.4 Conclusion

This chapter analysed the scope of attention given by NUPs at the global and regional scale to five main themes that correspond to the main concerns of global urban agendas. The chapter also illustrated the variety of context-specific thematic priorities and challenges in defining goals and objective of NUPs with some country examples. The result highlighted that goals

and objectives of NUPs as tools for achieving national development can be as varied as the demographic, social, political and geographic specificities of each country. The findings indicate that economic development and spatial structure are themes receiving the most amount of attention globally, while dominant themes vary among regions. In contrast, both quantitative and qualitative analyses in this chapter highlight a lack of attention in NUPs to environmental and climate issues. A clear gap is observed between the levels of attention given to these themes and the extent of the challenge they pose, as well as the extent of the commitments to these issues expressed in the Paris Climate Agreement, the SDGs and the New Urban Agenda. This oversight signals a clear and urgent need to build capacity and awareness to understand the effects of climate change in relation to cities, and to establish national policies that can reduce the contribution of cities to climate change while also building their resilience.

A key lesson from the thematic analysis is that NUPs are not merely tools to control and repair the negative consequences of urbanisation, they can also be transformative and future-oriented strategies to achieve overall national development objectives, as illustrated by Rwanda's NUP. Another associated point is that NUPs need comprehensive and integrated national goals and objectives for cities. As urbanisation challenges and opportunities are multi-sectoral and inter-connected, long-term urban development goals in one area cannot be successfully achieved without addressing others in a holistic way. For instance, long-term economic development depends on catering for the material and educational needs of urban residents, and their well-being and quality of life also entails the protection of urban ecosystems. The need for integrated goals and objectives in NUPs is particularly recognised in some countries in Latin America and the Caribbean, as the region has been tackling the negative externalities of its rapid and uncontrolled urban transition, such as high socio-economic and territorial inequalities and environmental degradation. Comprehensive and integrated NUPs can address a wide range of policy sectors affecting urban areas and complement, align with, and coordinate at the urban level these national sectoral policies. The AFINUA explains that NUPs must align with national and sectoral development plans and policies at all levels to harness the transformative power of urbanization with urban plans (UN-Habitat, 2017d). The data also show that explicit NUPs show more extensive focus across all the five themes compared with partial NUPs. The fact that more explicit NUPs are currently in the early development stages than partial ones, points to an increase in more comprehensive and integrated NUPs that recognise the interconnected challenges of urbanisation and harness its synergies to achieve national development.

Finally, analysing the thematic scope of NUPs in relation to variables such as urbanisation rate, development level and other socio-political circumstances is critical and should be a focus of further research. For instance, the level of urbanisation in countries will determine whether NUPs can focus on housing infrastructure investment in order to accommodate upcoming urban pressures or focus on urban regeneration in highly urbanised circumstances. Political and social circumstances determine the needs of urban citizens, from social cohesion or inclusion to post-conflict recovery and rebuilding of trust. Goals and objective of NUPs also need to evolve according to the level of development in countries, reflecting the ambition of economic transformation from immediate poverty relief and provision of basic services, to the international competitiveness of metropolitan areas and well-being of urban citizens.

A national government, with inputs from subnational governments and other stakeholders, will identify its own domestic priorities through a national urban policy process; however, there are urban issues of common international concern, the most obvious example is climate change, where what happens in an individual city has ramifications across the world. (United Nations, 2016a: 14)

Amman, Jordan ©Edgardo W. Olivera

5

GOVERNANCE OF NATIONAL URBAN POLICY

A successful NUP is characterised by an effective and inclusive governance system. Indeed, the concept of governance, referring to a more collaborative and flexible reorganisation of institutional and societal relations in conducting public affairs, lends itself particularly well to the complexity and interrelation of urban issues, to address them across sectors and scales. Initially conceived as a more managerial and efficient governing method, the concept of governance grew to include considerations of legitimacy through local democracy and empowerment. UN-Habitat's Global Campaign on Urban Governance in 2000, for instance, promoted the decentralisation of responsibilities and resources to local authorities, the participation of civil society and the creation of partnerships to better achieve common objectives (UN-Habitat, 2002). Empirical analyses show that the choice of governance arrangements has important consequences for economic performance, for the well-being of citizens and for environmental outcomes in metropolitan areas. The better governance arrangements work at coordinating policies across jurisdictions and policy fields, the better the outcomes along the above-mentioned dimensions (OECD, 2015f).

More recently, the New Urban Agenda called for an urban paradigm shift, acknowledging the role of national governments in the definition and implementation of urban policies and legislation, and insisting on "the equally important contributions of subnational and local governments, as well as civil society and other relevant stakeholders in a transparent and accountable manner" (United Nations, 2016b). Governance for a successful NUP, therefore, entails a collaborative and coordinated institutional arrangement between all levels of government, as well as an increase in local democracy and societal participation and inclusion.

This chapter analyses governance of NUPs in three ways. First, it examines governmental authorities which are in charge of NUPs at the global and regional scales. As defined in Chapter 2, the following four categories are used: specialised urban agency, general national planning authority, subnational planning authority and insufficient information. Then it assesses institutional arrangements, analysing the relationship between different governmental levels and discussing the specific roles of national and subnational governments in the NUP process. Thirdly, it looks at stakeholder engagement in the NUP processes, with a focus on the non-government and private sectors. The last two analyses are based on a qualitative assessment. The chapter has five sections. Section 5.1 presents the key findings. The following three sections discuss governmental authorities, institutional arrangements and stakeholder engagement, respectively. Finally, Section 5.5 interprets the results and provides conclusions.

5.1 Key findings

- Of the 150 countries with NUPs, there are 57 (38 per cent) countries with a specialised national urban agency, and 83 countries (55 per cent) have a general national planning authority.

- The region with the highest proportion of specialised national urban agencies is Africa (58 per cent).

- The institutional arrangements governing urban policy at the national scale are highly diverse and closely tied to national historical, economic, social, political and geographical contexts.

- Across the regions, centralised NUP processes were often observed, with a low to moderate level of stakeholder involvement. Nonetheless, in some instances, stakeholders were highly involved in NUP development, including in some systematic and highly participatory ways. These tended to be found in the North America and Europe, Asia and the Pacific, and Latin America and the Caribbean regions. Latin America and the Caribbean, in particular, hosted some notable stakeholder participation arrangements for NUP, including in Ecuador and Brazil.

5.2 Governmental authority in charge of NUP

This section assesses the status of the leading governmental authorities responsible for NUPs, which can effectively illustrate a country's institutional capacity to coordinate across sectors and between levels of government, and to steer and coordinate the NUP processes.

As Figure 5.1 illustrates, nearly all countries with NUPs surveyed have some form of urban policy and development authority. The majority of countries have general national planning authorities (55 per cent) while a substantial proportion have specialised national urban agencies (38 per cent). Only three nations man a NUP via sub-national agencies (2 per cent). Two of them (Marshall Islands and Tuvalu) are small Pacific states where geographic scale means a close overlap between national and local boundaries, and the other is Switzerland, a federal state in which the competence for urban policy is attributed to local authorities.

Figure 5.1 Types of Leading Urban Authorities, Global Scale

n=150

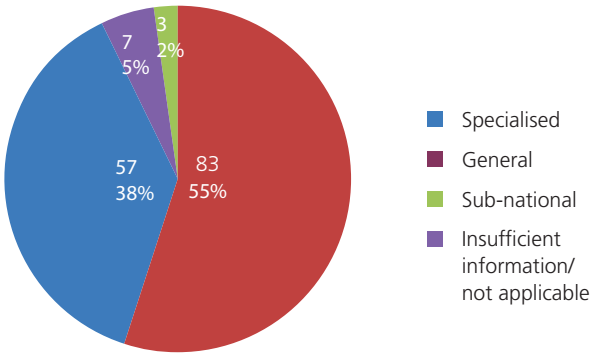
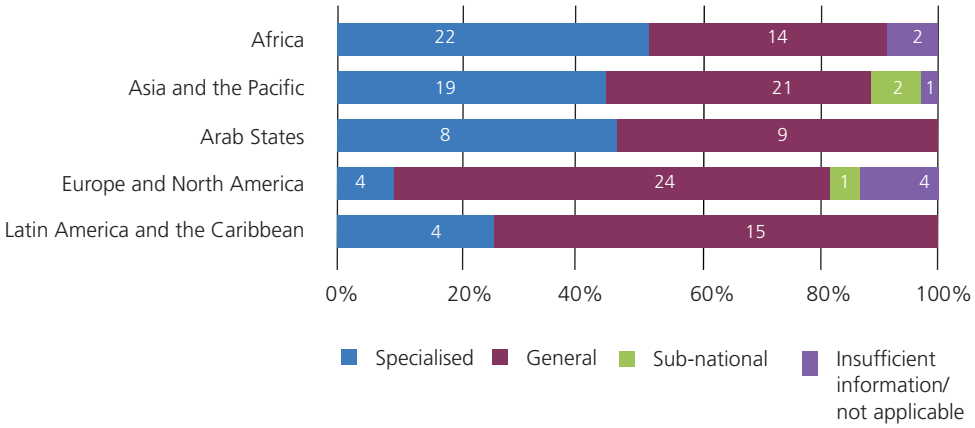


Figure 5.2 Types of Leading Urban Authorities, Regional Scale

n=150



There are some regional variations. Africa is the region with the highest proportion of specialised national urban agencies (58 per cent), while the Latin America and the Caribbean region has the highest proportion (79 per cent) of general national planning authorities (Figure 5.2).

5.3 Institutional arrangements

This section presents a qualitative assessment of institutional arrangements at the regional scale. First, the section provides an overview of context-specific priorities and challenges in terms of institutional arrangement at the regional scale. Then it discusses the need for a balance between top-down and bottom-up approaches in the NUP processes, by reviewing some country-specific examples.

Priorities and challenges of institutional arrangements at the regional scale

Within NUP institutional arrangements there is a diversity of key foci at the regional scale (Table 5.1). Key priorities identified by region are summarised as follows:

- In the Arab States, arrangements revolve around the articulation between economic strategy and institutional structures, including the role of subnational authorities, such as municipal councils overseeing urban development in some jurisdictions.
- A feature of some African NUPs is attentiveness to improved institutional capacity through democratic enhancement and civil service reform, while many countries have dedicated national urban agencies.
- The Asia and the Pacific has many national

Table 5.1 Identified Policy Priorities and Challenges of Institutional Arrangements, Regional Scale

Region	Priorities of NUP institutional arrangement	Challenges of NUP institutional arrangement
Africa	• Improving institutional capacity through enhancing democracy, federalism and civil service reform • Many countries with national agencies dedicated to urban development	• North Africa: urban governance too inflexible • Central Africa: strong decentralisation efforts Northern Tier (e.g., Somalia, Comoros, Djibouti): political instability has stalled NUP development
Asia and the Pacific	• Capacity of institutional structure to coordinate urban development • Increased responsibilities to local bodies • Many countries with national agencies dedicated to urban development • Limited establishment of national urban agencies • Improving local government capacity	• Under-resourced municipal units • Inadequate fiscal base to support urban development • Reforms to urban governance • Peri-urban expansion beyond jurisdiction and administrative units • Political instability confined to particular nations • Limited economic and fiscal capacity to support urban development
Arab States	• Cohesion between economic strategy and institutional structure • Local governments and councils oversee in some countries	• Mixed administrative systems: highly centralised (e.g., Saudi Arabia), federalist structures (e.g., Sudan), autonomous governorates (e.g., Iraq). • Gulf region: Centralised administrative structure and dependence of local administrations on central transfers • Maghreb region: political instability
Europe and North America	• Limited national oversight of NUP • Some multi-level governance • Some national agencies	• Federalism and national development • Complexity and coordination between different tiers of government
Latin America and the Caribbean	• Extensive national institutional arrangements • Municipalities have an extended role in urban development • Clear constitutional delineation of organisational authorities	• Adequate financial support for institutional bodies

Sources: UN Habitat (2017a; 2017b; 2017c; 2018a, forthcoming; 2018b, forthcoming).

agencies dedicated to supporting NUPs and, in some cases, pays particular attention to the capacity of institutional structures to support urban development. In some instances, responsibility is being delegated increasingly to subnational authorities, such as metropolitan governments. Also, trends show that national institutional capacity for NUPs tends to be less apparent, with greater responsibility delegated to local government, reflecting the smaller scale of many Pacific nations.

- In North America and Europe there is often limited national oversight and institutional presence around NUPs, especially in North America. In Europe, there is some multi-level agency presence as well as the supra-national institutional formation of the European Union.

- The Latin America and the Caribbean region is perhaps distinctive for its greater presence of national urban authorities. At the same time, municipalities with specific metropolitan arrangements often have significant roles to play in the policy making process at the national level. In some cases, there is even a constitutional delineation of institutional authority for urban policy across governmental levels.

Similarly, key challenges identified by region are summarised as follows:

- In the Africa region, policy issues include insufficiently flexible governance arrangements, in some cases strong decentralisation efforts and widespread political instability. All these factors are problems for NUPs, especially concerning coordination and long-term implementation.

- In the Arab States region, the diversity of arrangements produces differing policy problems depending on whether a nation operates a centralised, federalist or autocratic institutional structure. Political instability in this region is also a major issue that intersects with the capacity to operate a NUP, such as in Jordan, faced with the humanitarian crisis of refugees (Box 5.2).

- Within the Asia and the Pacific region, there have been recent indications of a move to reform urban governance as exemplified by the Pacific Urban Agenda. Some Pacific institutional issues include spill-over of urban development from urban municipalities into rural zones, limited national fiscal capacity to support NUPs and land registration issues especially involving negotiation of traditional tenure forms. Identified challenges for NUPs in Asia and the Pacific are particularly heterogeneous. However, key issues include under-resourced municipal units and wider problems of an insufficient fiscal base to support urban development.

- Major governance issues for NUP in North America and Europe include the problems of applying NUPs in advanced nations

Box 5.1 National Urban Policy, Decentralisation and Humanitarian Crisis, Jordan

Jordan's institutional arrangements are characteristic of the traditional centralisation of the Arab region, and more particularly of the Maghreb and Mashreq subregions, where post-independence nation building tended towards a strong concentration of powers in the central government. Central government is therefore the primary actor responsible for the development and implementation of NUPs. Jordan does not have an explicit NUP, but rather addresses urban issues through a range of sectorial policies and strategies, overseen by the relevant ministries. The National Land Use Master Plan of 2006, under the responsibility of the Ministry of Municipal Affairs, can still be singled out as a particularly relevant governmental policy with regards to managing and balancing urbanisation in the country.

At the subnational level, the kingdom is divided into 12 governorates, with governors appointed by the king; and 54 municipalities, where the mayors are elected rather than appointed, in contrast to many countries of the region. Like Egypt and Morocco, Jordan has embarked on a decentralisation process. The Municipal Law (13) of 2011 transferred more competencies to the municipalities and they are now responsible for the urban management of their territories and ensuring a decent standard of living for their citizens. Moreover, national sectorial policies with an urban dimension increasingly count on the subnational agencies and municipalities for their implementation on the ground. However, as with other countries in the region, this decentralisation process is essentially incomplete as this transfer of responsibilities was not accompanied by a commensurate devolution of financial and human capacities for municipalities to be able to carry them out.

Adding to these structural municipal constraints is the extreme refugee crisis in Jordan, the burden of which falls mostly on urban areas. Jordan is indirectly but acutely affected by the conflicts that erupted after the Arab Spring of 2011 when it became one of the countries receiving the most refugees from Syria and Iraq (for instance, 625,000 registered with the United Nations High Commissioner for Refugees).

Of those refugees, 85 per cent have settled in urban areas, seriously straining the capacity of municipal authority to provide basic and social services. Because of this pressure, the Jordanian Government has taken emergency measures, with the help of the United Nations and through a National Resilience Plan in 2014, to build refugee camps and try to divert them away from the densest urban areas. Its largest refugee camp, Za'atari, is now the largest human settlement in the country. Long-term measures, therefore, require a more profound and comprehensive decentralisation process, enabling local actors to efficiently and sustainably serve their populations and integrate emergency settlements within the urban fabric. Despite the crisis, the Jordanian Government is pursuing its reforms, notably with a joint project between the Ministry of Planning and International Cooperation and the OECD, to pursue decentralisation efforts and build local capacity and citizen engagement for territorial development adapted to local needs and priorities.

Key lessons:

- Political stability and security concern substantially affect the development of a NUP.
- While decentralisation of responsibilities to local authorities can help urban policies become more suited to local needs and priorities, it can only be effective with parallel efforts to enhance local capacity.

Source: UN-Habitat (2017a), National Urban Policy: Arab States Report, UN-Habitat: Nairobi.

with highly federated arrangements and mismatches of powers between national governments and regional governments, such as states and provinces. Complexity may be a problem in some European jurisdictions with multiple and tiered governance arrangements.

- Similar issues are apparent in Latin America and the Caribbean, where the matching of fiscal resources to NUP priorities deserves increased attention and coordination.

Striking a balance between top-down and bottom-up approaches in the NUP processes

Since institutional arrangements are closely tied to specific national historical, economic, social, political and geographical contexts, and each

country must then craft both its NUP and the arrangements supporting it to context-specific circumstances. There is, therefore, no universal blueprint to dictate the specific way in which relations between different tiers of government are structured and regulated, as they depend on institutional traditions and the relative capacity of each level. However, a key opportunity can be found in a balance between top-down and bottom-up approaches in the NUP processes.

The role of national governments

National governments are well-positioned to articulate urban policies both at different scales global imperatives, national development strategies and the local dynamics of urbanisation and across different sectors taking into account the spatial dimension of urban policy. The establishment of a specialised agency with technical expertise to oversee urbanisation at the national level is an important base for the institutional capacity of a country to lead the NUP processes (OECD, 2017a). While the national level is the most appropriate for such coordination, it does not necessarily mean that national governments concentrate all power and responsibility for the development and implementation of a NUP. The principles of institutional collaboration and cooperation for good governance are particularly crucial to the NUP process. Given the complexity and the breadth of urban issues, NUPs should provide a clear national vision and principles, but they also require the input and participation of a wide range of stakeholders, particularly local governments, for their effective implementation.

A NUP must be supported by an institutional environment enabling vertical coordination and collaboration, with an appropriate allocation of authorities, functions, responsibilities and resources across different levels of government. The rationale and legitimacy for the division of roles depends on two criteria. The first is efficiency, which can be determined by both the (traditionally) higher resource and oversight ability of national governments and by the knowledge and proximity of local governments, which are better suited to understand the specificities of local contexts and how to adapt general principles to them. The second is democracy, which is to bring policy-making closer to citizens, and empowering local governments to engage them more directly. The regional assessment of institutional arrangements in the context of NUPs suggests that an effective institutional environment does not necessarily mean a displacement of powers from the centre to the periphery and between competitive levels of government, but rather a redefinition of the roles and responsibilities at each governmental level for a more coordinated and collaborative relationship. For instance, a NUP led by the central government does not replace local policies but complements and relies on their articulation to address cross-boundary challenges, such as urban-rural linkages, sustainable resource management and climate-change resilience. As in the case of Chile, a dedicated national urban agency can take a strong leadership at the national level in addressing the urbanisation challenges, which can in fact assist decentralised decision-making at the local level (Box 5.2).

Box 5.2 National Urban Policy and Specialised National Urban Agency, Chile

After the previous NUP was repealed in 2000, Chile's president, recognising urbanisation challenges due to a lack of national-level policy, established a Presidential Advisory Commission on National Urban Development Policy (Comisión Asesora Presidencial, Política Nacional de Desarrollo Urbano) in 2012. As a result, Chile's current NUP (Politica Nacional de Desarrollo Urbano) was born the following year. As the country's first explicit NUP, it has ambitious goals: to improve the quality of life by addressing urban development, to decentralise decision making, to foster institutional co-ordination, to provide a reference for policy reform, and to create certainty for social development and public and private investment (MINVU and UNDP, 2014).

The Ministry of Housing and Urban Development (Ministerio de Vivienda y Urbanismo) (MINVU) took charge of the co-ordination of the National Urban Development Policy. This process was inclusive; the advisory committee that drafted the policy consisted of 28 people representing civil society, labour unions, academia, members of parliament, current and former ministers, and professional experts. Furthermore, to ensure an effective implementation of the National Urban Development Policy, the national government approved the creation of the National Council for Urban Development (Consejo Nacional de Desarrollo Urbano). The council's main tasks are to propose changes to sectoral policies that affect urban development, propose reforms to national legislation, and set up regional working groups to ensure that the NUP takes into account regional realities (Government of Chile, 2016).

Key lessons:

- Urbanisation challenges may stem from a lack of national-level policy to guide development.
- Wide stakeholder engagement is effective for a comprehensive NUP, including civil society, labour unions, academia, political leaders and professional experts.
- NUPs can be implemented more effectively in the presence of a dedicated body with sufficient coordination authority.

Source: OECD (2017a), National Urban Policy in OECD Countries, OECD Publishing, Paris; OECD (2015g), "Regional Outlook Survey Results: Chile", unpublished.

Likewise, decentralisation does not necessarily mean disempowerment; national governments may acquire capacities for coordination at all levels to guarantee coherent action and maintain territorial equity. As the case of Germany shows, a clear division of responsibility and resources, as well as consensus building through extensive stakeholder engagement with all levels of government and non-state actors, can make a NUP function even under the complex institutional arrangements in a federal system (Box 5.3). Besides, an important function of a NUP is to foster cooperation and collaboration across jurisdictions by overcoming metropolitan fragmentation (OECD, 2015f; United Nations, 2016a). Effective metropolitan governance guided by a NUP can bring long-term economic competitiveness by specialising and coordinating local economic activities, addressing climate mitigation and adaptation challenges, and by enabling a better delivery of services and management of infrastructure beyond city boundaries.

Box 5.3 National Urban Policy in a Federal System, Germany

Germany is the most populous country in the European Union (EU). It is home to over 80 million people with an estimated 75 per cent of the population living in cities. The country is a federation of 16 states, 3 city-states (Berlin, Bremen, Hamburg) and 11,993 municipalities. It has a directly-elected federal legislative body (Bundestag).

Evolution of urban policy

In response to the Leipzig-Charter on Sustainable European Cities adopted in 2007, Germany released the memorandum Towards a National Urban Development Policy in Germany, which defines a national policy approach to urbanisation. It was a joint initiative by the federal government, states and local authority districts. The memorandum highlighted six key areas of work:

1. **civil society** – focusing on actively engaging with citizens in their city;

2. **social city** – creating opportunities and preserving cohesion;

3. **innovative city** – focusing on developing cities as drivers of economic development;

4. **climate protection and global responsibility**;

5. **building culture and improving urban design**; and

6. **regionalisation** – focusing on the region as a critical part of the city's future (UN-Habitat, 2015).

The National Urban Development Policy serves as a platform of exchange and transfer on integrated urban development approaches. The creation of the National Urban Development Board opened planning up to a wide range of stakeholders, including representatives of all levels of government, professionals, tenants and property-owners, the construction industry and building trades, and civil society groups (including cultural, religious, environmental and social associations).

A number of projects and programmes has been implemented under the National Urban Development Policy. Monitoring and evaluation is under the responsibility of specific offices, mainly those of the federal government (UN-Habitat, 2015). The various urban development promotion programmes are under evaluation, like the programme Aktive Stadt und Ortsteilzentren ("active quarters of cities and municipalities") and the programme Soziale Stadt ("social city").

Key lessons:

- Extensive stakeholder engagement with all levels of government and non-state actors is crucial for success.

- Complex institutional arrangements such as a multi-layered federalist political structure is not an impediment for a NUP

- Consensus building in the feasibility, diagnostic and formulation stages of policy is key to negotiating broad and active support for a NUP

Source: OECD (2017a), National Urban Policy in OECD Countries, OECD Publishing, Paris; OECD (2015h), "Regional Outlook Survey Results: Germany", unpublished; and UN-Habitat (2017c), National Urban Policy, Europe and North America Report, UN-Habitat: Nairobi.

The role of subnational governments

Engaging subnational governments to cooperate with the central government in the whole NUP processes is crucial. Subnational governments are acknowledged throughout the NUA as key players, rooting sustainable urban development in local and regional contexts.

The NUA commits to supporting local governments and mentions their special role in partnering with communities, civil society and the private sector to develop and manage basic services and infrastructure (United Nations, 2016b).

The advantage of subnational governments lies in their knowledge of local contexts and their ability to adapt policies to it; their closer proximity to citizens grants them democratic legitimacy. It follows that they should be engaged in every stage of the NUP process, from feasibility to monitoring, and not simply be considered only as agents of implementation.

Their local knowledge is, for instance, important for a truly evidence-based diagnosis, undertaken at the beginning of the development of the NUP. Moreover, NUPs have a very direct impact on the capacity of subnational governments to pursue their agenda of sustainable growth, and it is therefore in their interest to have an active role in the elaboration of a NUP to make sure that it leads to a truly enabling environment.

Besides participating in the elaboration of the NUP, subnational governments can also articulate the urban agenda and policies planned under their jurisdictions into a subnational urban policy (SNUP). A SNUP would function as a more detailed and adapted set of policies that would complement the NUP. The NUA indeed stresses that the actions of local governments should be "in line with national legislation and policies to adapt to local needs" (United Nations 2016b).

The alignment of a SNUP and a NUP is necessary to achieve the coordinated and collaborative governance required to support NUP development, and it would ensure that subnational goals, visions, projects and programmes do not contradict or undermine national objectives and vice versa.

This requirement further reinforces the importance of the participation of subnational governments in the NUP processes, so that national principles are not imposed on them in later stages without them having been consulted. Analysing SNUPs in the context of the NUP will be an important future topic of study, although it was beyond the scope of this study.

5.4 Stakeholder engagement

This section assesses the state of stakeholder engagement in NUPs, with a focus on the non-government and private sectors. Many NUP processes examined had relatively little stakeholder participation, though this was highly variable at both the regional and national levels (Table 5.2). Key priorities identified by region are summarised as follows:

- In the Arab States, NUPs tend to be centralised, with a high level of reliance on international expert consultants for NUP development.

- Within the Africa region, many nation states play a strong role in NUP development and are increasingly looking to private financial stakeholders for NUP support. These include bilateral investment arrangements and multilateral trade partnerships.

- The Asia and the Pacific region appears to provide for stakeholder participation in some jurisdictions, though this is highly uneven across the region, reflecting diverse political arrangements. Some NUPs explicitly call for increased private support for urban development planning. The Asia and the Pacific region appears to have incorporated stakeholder inclusion into NUP development to a higher degree than most other regions. This has been achieved through consultative processes of policy development

accompanied by many instances of civil society participation in urban policy forums.

- In Europe and North America, there has been an uneven degree of stakeholder participation in NUPs, reflecting the uneven application of NUPs in the region. Where a NUP is present, it tends to draw on existing democratic forms of participation for its stakeholder involvement. Private financing of urban development is an important and extensive component of practice in this region.

- Latin America and the Caribbean is perhaps the region with the most extensive involvement of stakeholders in NUPs, reflecting wider participatory processes in governance among nations in this part of the globe. These processes include political parties, social movements, unions and academic groups as well as community representatives. In Ecuador, large-scale public consultation and participation was facilitated during the elaboration of the Organic Law on Land Management. In Brazil, public participation is institutionalised in such arenas as the Conference of Cities at the federal level, and in city councils at the municipal level.

Specific policy challenges dealt with by NUPs in relation to stakeholder involvement are also broad. Key challenges identified by region are:

- The Arab States region is largely characterised by centralised policy processes. Low engagement by civil society groups in NUP development is observed, partly due to a lack of participation mechanisms. However, Morocco's inclusive NUP process stands out as a potential model for the Arab States region (Box 5.4).

- In the Africa region, the private sector is increasingly involved, putting into question the social and inclusive dimensions of urban development in NUPs.

- In the Asia and the Pacific region, transparency and accountability are key issues, including combating corruption in urban development processes and extending multi-level stakeholder participation processes. In the Asia and the Pacific region, international organisations are an influential stakeholder in NUP development.

- There are relatively few issues around stakeholder involvement in NUPs in North America and Europe, though community participation in planning processes is an important consideration.

- In Latin America and the Caribbean, challenges revolve around multi-nodal and multi-sector participatory governance and negotiating competing claims for policy delivery.

Table 5.2 Stakeholder Engagement Priorities and Challenges per Region

Region	Stakeholder Policy Priorities	Stakeholder Policy Challenges
Africa	• Many national states play strong role • Private investment into urban development growing • Bilateral and regional investment and influence from some countries, i.e. China in East Africa • Multilateral organisations, trans-national organisations involved in urban development	• Growing private investment has led to reluctance for social development in some countries
Asia and the Pacific	• State/domestic tiers – national and local level • Private sector • Greater processes of consultation with civil society consultative process for policy development in some countries • Civil society participation in 'urban forums'	• Financial investments from non-state actors • Accountability and transparency • Attempts to enhance participation at local level in urban development multilateral agencies
Arab States	• Many urban planning activities delegated to private consultants and development agencies, particularly in Gulf States	• Civil society groups and community involvement is limited
Europe and North America	• Limited information • Building consensus for NUPs amongst diverse tiers of government	• Limited information • Building consensus for NUPs amongst diverse tiers of government
Latin America and the Caribbean	• Strong multi-level democratic governance • Social movements, academics and business • Devolution to local authorities • Citizen participation: 'right to the city' constitutionally enshrined in some countries • Regionalism: Central American Council for Housing and Human Settlement	• Regional actors influencing housing development and national policy in some countries • Multi-nodal participatory governance and negotiating competing claims for policy delivery

Sources: UN Habitat (2017a; 2017b; 2017c; 2018a, forthcoming; 2018b, forthcoming).

Box 5.4. National Urban Policy with broad stakeholder involvement, Morocco

Morocco's first national policy, Villes Sans Bidonvilles (Cities Without Slums), launched in 2004, virtually eradicated slums in the country by 2010 and illustrated a strong commitment to addressing social issues. With the formulation of its new NUP: Politique de la Ville, initiated in 2012, Morocco expanded this social commitment to the governance process itself, through an inclusive and participatory process to determine and achieve urban projects in the country. This wide stakeholder engagement was first expressed in the elaboration of the NUP itself. Its guiding principles were defined during a large national debate, from April to June 2012, and engaging government authorities, non-government organisations, community organizations, private sector actors and citizens at the central, regional and local levels. A collaborative approach was then carried out in the implementation of the policy, which relies on the elaboration of city contracts, along the same model as France (see Box 6.1).

These contracts establish a partnership between central government ministries and local authorities to conduct urban projects. They also work in collaboration with the private sector, Criteria for the validation of the contracts include: adopting a participative approach for their conception, involving multiple stakeholders in their implementation, and respecting the principles of social, economic and environmental integration and sustainability. Morocco's NUP illustrates a shift towards a more inclusive and participatory governance process, breaking with the centralised tradition of the region. It is a result of a wider process of democratization that was initiated as a response to calls for more social justice and transparency during the Arab Spring in 2011. A new constitution was adopted that emphasized democratic participation, the right to a decent home, cooperation and solidarity in the promotion of sustainable development, and equity in the access of basic services. Morocco is an example of a country addressing the needs and demands of its urban citizens, which, while many challenges remain, partly explains its relative political stability in the region.

Key lessons:

- Morocco's NUP is an example of participatory and inclusive governance for the region
- The sectoral commitment to social issues is often correlated with wider stakeholder engagement in governance (see also Box 4.2)
- NUPs are both a set of policies and a process of engagement, and the definition of a collective vision, which can reduce urban discontent and potentially prevent more turmoil

Source: UN-Habitat (2017a), National Urban Policy, Arab States Report, UN-Habitat: Nairobi.

5.5 Conclusion

To be successful, a NUP must be accompanied by an institutional framework and governance processes that will allow for the coordination and collaboration of urban actors. It requires not only an explicitly recognised urban policy setting at the national level, but also an institutional setting in which the NUP is properly led and co-ordinated (OECD, 2017a).

The regional assessment shows that, to facilitate the leadership role of a NUP in defining a vision and coordinating roles and responsibilities, the establishment of a specialised urban agency at the national level is instrumental. Most countries, with a few rare exceptions, appear to acknowledge the strategic leadership and coordinating role of the national government, with the designation of leading urban agencies at the national level. However, the presence of a national-level agency is dependent on the political system and governance arrangements of a country, including any multi-level governance tiers, such as in a federal system.

The regional assessment also shows that a key opportunity can be found in a balance between top-down and bottom-up approaches in the NUP processes. The institutional dimension of NUP development, therefore, entails redefining, strengthening and articulating national and subnational roles and responsibilities for increased coherence, efficiency and democratic legitimacy.

Across the regions, there was a low to moderate level of stakeholder involvement in NUP processes. Non-governmental organisations, the civil society and the private sector can play a crucial role in the NUP processes, together with subnational governments. The extent of stakeholder engagement in NUPs tends to reflect the level of development of the policy at the national level. Thus, advanced NUPs tend to have greater levels of stakeholder engagement while those that are less advanced tend to have less stakeholder involvement.

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6

CAPACITY FOR NATIONAL URBAN POLICY DEVELOPMENT

Enhancing the capacity of national and subnational governments is essential to make sure different levels of governments can fulfil their appropriate responsibilities, as discussed in Chapter 5. Indeed, lack of capacity and skills in national and subnational governments is one of the main challenges for the effective development and implementation of NUPs through coordinated governance. The New Urban Agenda insists on the necessity for capacity development, described as "a multifaceted approach that addresses the ability of multiple stakeholders and institutions at all levels of governance, and combines individual, societal and institutional capacity to formulate, implement, enhance, manage, monitor and evaluate public policies for sustainable urban development" (United Nations, 2016b). In the context of NUP development, capacity development entails making sure that governments have the means to engage in the development of the policy and to acquire the sufficient human, technical and financial resources to carry out their redefined responsibilities in the NUP process.

This chapter assesses the state of capacity for successful NUP development. Two factors of capacity are considered: commitment of resource and policy instruments. The chapter has four sections. Section 6.1 presents the key findings. The following two sections discuss the commitment of resource and policy instruments, respectively. Finally, Section 6.4 interprets the results and provides conclusions.

6.1 Key findings

- Across the global study regions, there is a wide variance in the level of resources dedicated to NUPs, both in terms of formulating NUPs and in implementing them. By large, however, a lack of financial resources remains the main obstacle to the successful implementation of NUPs.

- Policy areas receiving the most investment in resources are housing and infrastructure.

- Many local governments still rely heavily on central transfers, and lack proper revenue generating capacities, which constrains them in fulfilling their NUP responsibilities, especially in cases where decentralisation increased them.

- Human and technical capacity shortages are also key obstacles, both for formulating and implementing NUPs.

- A wide variety of policy instruments can be observed in NUPs, with a large reliance on legislative, regulatory and spatial instruments. Recently, an increasing trend is observed in the development of fiscal incentives and public-private partnerships.

- The use of policy instruments for NUP implementation is most successful if they are used in combination.

6.2 Commitment of resources

Resources refer to the human, technical and financial assets needed by governmental institutions to carry out their responsibilities and elaborate and implement a NUP. For local governments, a central issue is often that they still rely on the national government to provide such resources, which are sometimes insufficient in relation to the increased responsibilities they are entrusted with through decentralisation. Across the global study regions, there is a wide variance in the level of resources dedicated to NUPs, both for formulation and implementation. The extent of NUP resourcing is also difficult to discern due to insufficient information on agency and wider governmental expenditure budgets and plans.

This section focuses on policy areas that appear to be a focus of NUP resources and expenditure. It is important to note that the prioritisation of objectives in NUPs may not be reflected in the investments and efforts dedicated to their implementation. Similarly, it is reasonable to expect that in some cases, even where a NUP is given a high level of priority in national policy development, resources are still lagging or uncoordinated.

In terms of resources that have been allocated to particular NUP issues and priorities, some patterns are apparent within the global regions assessed in this study (Table 6.1). Key investment priorities identified by region are:

- In the Africa region, transport has been a notable resourcing focus of NUP, as well as housing development.

- Within the Arab States, investment in housing development is particularly prominent, as have been efforts around master planning and new towns

- In the Asia and the Pacific region, transport, urban redevelopment and infrastructure, and housing have been resource priorities for NUP in some jurisdictions. This includes national-level investment in linkages between major urban settlements. In the region, waste management has been a particular priority as has been the development of durable and affordable housing. Similarly, land management has been a target of resourcing.

- In Europe and North America, the less extensive development of NUPs has meant that specifically NUP-related resourcing is difficult to identify systematically despite there being a higher level of resourcing at sub-national levels for urban policy and urban management. In some cases, national-level resourcing of urban infrastructure has been used as a wider economic stimulus.

- In Latin America and the Caribbean, housing programmes and urban redevelopment have been particular foci of NUP resourcing. This is in addition to considerable levels of urban housing, infrastructure and transport development by sub-national governments, though not necessarily under the rubric of a NUP.

Table 6.1 Identified resource priorities and challenges, regional scale

Region	Identified Resource Priorities	Identified Challenges for Resources
Africa	• Transport and housing are major areas of attention	• Many explicit NUPs lack resources to deploy comprehensive NUPs. Few countries with financial and technical capacity to implement NUPs
Asia and the Pacific	• Redevelopment of areas to attract capital and investment • Linkages between cities • Infrastructure, transport and housing • Solid waste management • Durable and affordable housing • Land management	• Resources have often identified staffing shortages and lack of expertise • Financial capacity often inhibited resource deployment
Arab States	• Housing development	
Europe and North America	• Infrastructure and stimulus roll-out • Regional development and metropolitan plans in many countries	• Advisory policies have less resources than public investment programmes
Latin America and the Caribbean	• Housing programmes • Real estate development • Urban development	• Decentralisation has shifted responsibilities to municipalities • Some countries with weak public resourcing

Sources: UN Habitat (2017a; 2017b; 2017c; 2018a, forthcoming; 2018b, forthcoming).

Key challenges identified by region are:

- In the Africa region, many resource deficits persist in the application and development of NUPs. In particular, the human resources needed to tackle major policy issues are often lacking, especially technical capacity.

- In the Arab States region, some nations have invested heavily in a NUP but there is generally limited information to understand the wider policy implications of this investment.

- Comparable issues may be observed in the Asia and the Pacific region, where staffing shortages and capacity deficits are noted issues along with a lack of financial resources to undertake institutional and urban infrastructure development. Pacific nations face financial capacity deficits to undertake both NUP formulation and implementation, and fund the investments, such as waste treatment systems, anticipated by NUPs.

- In Europe and North America, a wide array of urban policy objectives is apparent at national scales, but in many instances, jurisdictions are reluctant to grant national level resources to meeting needs.

- In Latin America and the Caribbean,

however, many countries have dedicated resources to NUP, though this is often done via decentralised mechanisms. Many countries in the region then have an overall weak local fiscal system that constrains their ability to resource their NUP.

6.3 Policy instruments

The application of a NUP depends on various policy instruments that can implement its objectives. This section assesses the instruments that are used in the application of NUPs among the global regions studied in the report. A wide variety of policy instruments can be observed among NUPs – ranging from various types of strategic planning documents, spatial plans and master plans, national development plans, urban regulatory arrangements and national or sub-national legislation, taxation policies and urban development funds. This section summarises these instruments in a highly-simplified form, highlighting the types of NUP instruments currently in use and in need of development at the regional scale.

In the regions assessed in this study, there is an array of instruments which are currently in use to implement NUPs (Table 6.2). Key instruments identified by region are:

- In the Africa region, planning and regulatory legislation is increasingly used, as are permitting and registration systems. In some cases, taxation policy is used as an instrument for implementing NUPs.

- Among the Arab States, spatial frameworks - often set within national development plans - are a common instrument for NUP implementation.

- In the Asia and the Pacific region, urban legislation, environmental standards and taxation and regulatory mechanisms are broadly used to support NUPs. Decentralisation policies are another means in the application of a NUP, by devolving national responsibilities to sub-national governments such as provinces or metropolitan regions. Spatial frameworks are often used to give structure to urbanisation processes typically at the metropolitan scale.

  Within the Pacific region, spatial development plans for national urban development planning are increasingly used and there are signs of increasing willingness to use taxation instruments to enable local-scale infrastructure development.

- In Europe and North America, state-city partnerships are often used, sometimes with a public-private dimension. In France, for example, city contracts between the national government and inter-municipal bodies and municipalities have been an effective policy instrument (Box 6.1). Spatial planning legislation is a common instrument for managing urbanisation, though this is not necessarily articulated at the national scale. Regional planning frameworks are widely applied, some of which reference national policy settings or, in the case of Europe, supra-national frameworks.

- Within Latin America and the Caribbean, national-level instruments are common, including national constitutional arrangements that have urban policy elements, national legislative frameworks and development plans, as well as national urban programmes such as those surrounding housing developments.

At the same time, the study has identified a lack of effective policy instruments. Key policy instruments which are in need of development, identified by region are:

- In the Africa region, housing standards, building standards and budgetary processes are often concerns of national planning instruments and frameworks.

- In the case of the Arab States, housing development, transport and environmental sustainability.

- In Europe and North America, many policy instruments have been developed at the city level, which makes NUP instruments less distinct than in other regions. However, policy instruments for urban renewal, social cohesion and integration are common issues for which more effective NUP instruments are called for.

- In Asia and the Pacific, policy concerns to be supported NUP instruments include metropolitan governance through legislation as well as disaster risk management.

- In Latin America and the Caribbean, policy instruments for housing provision and urban poverty reduction are most demanded.

Table 6.2 Identified policy instruments currently in use and in need of development, regional scale

Region	Identified types	Identified Priorities
Africa	• Planning and regulatory framework • Regulatory city construction • Permit and registration systems • Taxation policies	• Housing standards • Building standards • integration of NUPs with budgetary and national planning
Arab States	• Spatial frameworks • National development plans	• Housing development • Transport • Environmental sustainability
Asia and the Pacific	• Urban legislation - building, design and construction standards • Environmental standards • Readjusting taxation and revenue allotted to urban development • Decentralisation policy and empower local government • Spatial frameworks and national development plans • Spatial Development Plans	• Creation of new administrative units through legislation • Disaster management and risks • Regulatory tools to enhance financial base for urban development projects • Spatial regulations • Some sustainability regulations
Europe and North America	• State-city partnerships • Some national frameworks and many regional frameworks • Spatial planning legislation	• Urban renewal • Social cohesion and integration
Latin America and Caribbean	• National constitutions • National legislation • National development plans • National housing programme	• Housing programmes

Sources: UN Habitat (2017a; 2017b; 2017c; 2018a, forthcoming; 2018b, forthcoming)

Box 6.1 National Urban Policy and city contracts, France

Dating back to 1977, the NUP of France, entitled City Policy (Politique de la Ville), established city contracts between the national government and inter-municipal bodies and municipalities. The first city contracts were established to respond to the need for affordable housing. Over time, the focus of the city contracts expanded to include other development priorities, such as employment and transportation. From 2006-2014, urban social cohesion contracts focused on neighbourhoods in difficulty. The 2015-2020 city contracts act on a wide range of levels, organised around three pillars: development of economic activities and employment, social cohesion, and living conditions and urban renewal. The city contracts established within the City Policy are exemplary for the role that they give to the inhabitants of the target inter-municipalities and cities, which are represented by citizen councils. These councils allow for the exchange of information and for inhabitants to propose initiatives that respond to their needs (CGET, 2015). Besides advising and supporting the government in the design and implementation of the City Policy, the General Commission for Territorial Equality (CGET) is also in charge of monitoring and evaluation of the NUP through the Inter-ministerial Committee for Equality and Citizenship (CIEC).

Key lessons:

- Inhabitants of cities should be at the core of NUPs, ensuring that their needs are heard and addressed accordingly.
- It is imperative to consider local specificities; therefore city-focused contracts can be more effective in addressing urban issues.
- Territorial approaches, in particular urban-rural linkages, are currently absent from the City Policy. There is thus room for improvement with regards to inclusivity for this NUP.

Source: OECD (2017a), National Urban Policy in OECD Countries, OECD Publishing, Paris; OECD (2015i), "Regional Outlook Survey Results: France", unpublished.

6.4 CONCLUSION

Resourcing (human, technical and financial) of NUPs is perhaps the greatest recognised weakness impeding the successful implementation of NUPs. It is particularly crucial for national governments to empower local governments by providing adequate financial resources, legal and fiscal autonomy and by supporting local skill development, given their important role in the NUP processes.

Similarly, the appropriateness of policy instruments and institutional capacities to coordinate and implement a NUP is less extensively explored. More research is needed to better understand existing resource gaps, understand the diversity of policy instruments that are available and the contexts in which they are being used, and to assess the effectiveness of the current policy instruments to implement NUPs. With clearer information on common implementation gaps, and the policy instruments that are available to address them, policy makers could better predict these gaps and undertake capacity building activities.

Sharing knowledge and experience on effective resource allocation and policy instruments across countries, in particular among countries with similar challenges, would be most beneficial.

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7

THE NEXT STEPS: ACCELERATING NUPS THROUGH THE NATIONAL URBAN POLICY PROGRAMME

7.1 NUP as an instrument driving global agendas

In the past, urbanisation has been increasingly acknowledged as a crucial issue on intergovernmental and regional agendas for sustainable development and climate change. As a governmental instrument to harness the dynamics of urbanisation for national development, NUPs play an instrumental role in the implementation and monitoring of these global agendas.

Implementation of the Agenda 2030 for Sustainable Development will drive NUP processes

Figure 7.1 SDG Wheel

Table 7.1 Examples of agenda 2030 goals and targets with links to NUPs

Goals	Targets
Goal 1: Poverty Eradication	Targets 1.4 and 1.5: land tenure security and resilience
Goal 2: Food Security, Nutrition and Agriculture	Targets 2.3 and 2.a: land tenure security and urban-rural linkages
Goal 3: Health	Target 3.9 pollution, 3.6 road fatalities, 3.8 access to universal health coverage, 3.9 hazardous chemicals and air, water and soil pollution and contamination.
Goal 5: Gender	Target 5.2: safety and 5.a ownership and control over land
Goal 6: Water	Targets 6.1 and 6.2: access to drinking water and sanitation
Goal 7: Energy	Targets 7.1, 7.2 and 7.3: access to renewable energy and energy efficiency
Goal 8: Economic Growth and Employment	Targets 8.3, 8.5 and 8.6: job creation, decent work and youth unemployment
Goal 9: Infrastructure and Industrialisation	Targets 9.1, 9.4 and 9.a: access to and upgrading and financing infrastructure
Goal 10: Reduce Inequality	Target 10.4 discriminatory laws
Goal 11: Inclusive, safe, resilient and sustainable cities and human settlements	Targets from 11.1 – 11.7 and 11.a – 11.c
Goal 12: Sustainable Consumption and Production	Target 12.5: waste management
Goal 13: Climate Change	Target 13.1: resilience and adaptive capacity; 13.b capacity for effective climate change-related planning and management
Goal 14: Oceans	14.1 marine pollution and 14.5 preserve coastal areas
Goal 15: On terrestrial ecosystems	Target 15.9 By 2020, integrate ecosystem and biodiversity values into national and local planning, development, processes
Goal 16: Peaceful Societies and Inclusive Institutions	Target 16.7 and 16.a: governmental subsidiarity and institutional capacity building, 17.b non-discriminatory laws and policies for sustainable development
Goal 17: On means of implementation and partnership for sustainable development	Targets 17.14 Policy coherence for sustainable development; 17.17 Effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships.

Source: Habitat III Policy Paper 3 – National Urban Policy.

One of the most important documents on the global urban agenda is the 2030 Agenda for Sustainable Development, adopted at a United Nations summit in September 2015, and which introduced a set of 17 Sustainable Development Goals (SDGs), universally applicable objectives building on the previous Millennium Development Goals, to end poverty, fight inequalities and tackle climate change(Figure 7.1). As Table 7.1 illustrates, many of the SDGs have an evident urban dimension and cannot be achieved without being addressed in urban areas, making NUPs an important implementation and monitoring instrument.

Indeed, as the Policy Paper on National Urban Policies in preparation for Habitat III argued: "a national urban policy is a powerful tool for government to plan for and direct the many facets of urbanisation, and for it to be a net contributor to achieving the Sustainable Development Goals. […] As an overarching process, the national urban policy will be able to anchor and influence many dimensions of sustainable development, such as air pollution control and regulation" (United Nations, 2016a).

Illustrating even more significantly the increased awareness of the importance of urbanisation for sustainable development, the SDGs introduced a landmark goal of exclusive urban focus: SGD11, "make cities and human settlements inclusive, safe, resilient and sustainable". NUPs are therefore a central component of the enabling environment needed to achieve the targets set out in this goal. This is especially the case in relation to Target 11.a: "support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning", for which national urban policies have been proposed to the Interagency and Expert Group on the SDGs Indicators as an appropriate and necessary methodology for the associated indicator, Indicator 11.a.1.

The review of SDG11 will take place at the 2018 High Level Political Forum, with the theme "transformation towards sustainable and resilient cities"; this coincides with the first report by the Secretary General's office on the implementation of the New Urban Agenda, a process for which NUPs have been highlighted as a priority (UN-Habitat, 2017d).

NUPs as a priority instrument to implement the New Urban Agenda

NUPs are central to achieving the paradigm shift needed for the implementation of the New Urban Agenda, which refers to them both explicitly and implicitly by mentioning objectives and priorities that fall within their domain of competence.

The NUA, for instance, states that its effective implementation will be anchored in inclusive, implementable and participatory urban policies, to be developed and implemented at the appropriate level (United Nations 2016b: 86).

While the idea of "appropriate level" is reiterated throughout the NUA, with a commitment to including all levels of government and other stakeholders for a cooperative and coordinated governance (United Nations 2016b: 15.c, 21, 29, 87), the NUA nevertheless acknowledges the "leading role of national governments […] in the implementation of inclusive and effective urban policies and legislation for sustainable urban development" (United Nations 2016b: 15.b). As explained in section 5, a successful NUP does not replace local and subnational policies but puts national governments in a leading and coordinating position to better align urban policies at different scales and coherently distribute responsibilities at each scale.

The NUA commits to building the capacity of national governments to effectively implement NUPs, but also to ensure "appropriate fiscal, political and administrative decentralisation based on the principle of subsidiarity" (United Nations 2016b: 89). National governments control the "rules of the game" which are responsible for the creation of an enabling environment for the implementation of the NUA at all levels, through property legislation (United Nations 2016b: 35), policy frameworks (United Nations 2016b: 89), or financial frameworks

Table 7.2. Key Actions Related to NUPs for the Implementation of the NUA

	Key Item	Description	Relevant SDGs Indicators	Lead Actor(s)	Links to NUA	Links to AFINUA Items
1.1	Formulate medium and long-term demographic projections and trends, with geographic disaggregation, taking into consideration the interplay of economic social and environmental forces	A NUP takes into account current and future trends related to population composition and distribution, demographic projections, economic assessment and environmental conditions, gender, age, income, educational level, employment and economic sectors	11.a.1 (direct)	Central gov't Subnat'l gov't Professionals Academics and researchers Private sector	Paras2,13(c), 13(g),15(c), 16,19,61, 62,63,72, 77,80,94, 95,101,123, 156,157, 158,159	
1.2	To establish national rules to determine land sustainability for urbanisation and for environmental and cultural heritage protection and disaster risk reduction while taking into account its equitable distribution and accessibility	The supply of urbanized land must be sufficient to accommodate urban growth while protecting sensitive areas and avoiding uncontrolled sprawl. NUPs must balance the need for equitable access to land and respect for property rights against sustainability concerns and the use of land as a productive resource, while avoiding regulatory constraints on land supply that limit urban productivity and affordable housing supply	11.3.1 15.1.1 (indirect)	Central gov't Subnat'l gov't Local gov't	Paras49,51,69, 88,98,105, 106	2.1 3.2 3.4 3.7 3.9
1.3	Define the roles and jurisdictional responsibilities of all levels of government and local authorities regarding urbanisation and urban planning and management	A NUP sets out the roles and responsibilities for all spheres of government based on the principle of subsidiarity and for public participation as applied to urban planning and management (though their legal basis needs to be accounted for)	11.a.1 (direct)	Parliament Central gov't Subnat'l gov't Local gov't Stakeholders	Paras1,13(b), 14(a),15(c)I,41, 89,135,148, 149,160	2.4
1.4	Align NUPs with national and sectorial development plans and policies at all territorial levels to harness the transformative power of urbanisation with urban plans (e.g. energy, water, transportation and other infrastructural corridors)	A NUP brings the spatial dimension to development and contributes to the alignment and integration of national and sectorial development plans and policies at different territorial levels	11.a.1 (indirect)	Central gov't Subnat'l gov't Local gov't	Paras13(e),13(g) ,14(c),15(c) I,15(c)II, 50,63,64,86, 96,136	
1.5	Adopt a framework to reduce urban and territorial disparities	A NUP contributes to reducing territorial disparities and inequalities, promoting an inclusive and productive system of cities and human settlements, and strengthening urban-rural linkages. A NUP should also ensure the equitable provision and access to infrastructure, public goods and services, national and regional economic development, resilience and environmental protection, and adequate housing	11.a.1CPI-ES 3.1 (directly); 11.3.2 11.b.1 11.b.2 (indirect)	Central gov't Subnat'l gov't Local gov't Stakeholders	Paras4,13(e),13(g), 13(h),15(c) II,49,50, 71,72,80,95,96, 101,119	
1.6	Promote jurisdictional coordination and coherence		6.1.1 6.1.2 6.3.1 7.1.1 7.1.2 9.c.1 11.1.1 11.2.1 11.6.1 11.7.1	Parliament Central gov't Subnat'l gov't Local gov't	Paras13(e),14(a), 15(c)II,87,88,90, 91,96,99,105, 117	

Source: Draft Action Framework for the Implementation of the New Urban Agenda, April 2017.

and transfers (United Nations 2016b: 130, 135). Finally, the national scale can also ensure the coordination of sectorial policies (United Nations 2016b: 88) to address territorial issues across the urban-rural continuum (United Nations 2016b: 49, 123).

The Habitat III Policy Paper 3 explains: "a national urban policy has the power to shape urbanisation and thereby to contribute to the development of productive and prosperous cities. […] Consequently, a national urban policy should be recognized as a key lever towards the implementation of the New Urban Agenda." This recommendation has clearly been taken into account in the preparation of the Action Framework for Implementation of the New Urban Agenda (AFINUA) by UN-Habitat, which clarifies and organizes the essential actions to be undertaken for implementation. Thirty-five key elements are divided into five categories, with NUPs constituting the first one. It is crucial that national governments ensure that NUPs be developed and implemented, as they constitute the "basis for the implementation of the NUA" (UN-Habitat, 2017d).

NUPs to implement the Paris Agreement on Climate Change

Managing urbanisation is essential to addressing climate change issues, as cities are both the most vulnerable to and the most responsible for climate change-related risks. While they only occupy 3 per cent of the Earth's surface, they are responsible for 78 per cent of global energy consumption, and the production of 70 per cent of greenhouse gas emissions (UN-Habitat, 2016b). NUPs can therefore be instrumental in supporting the implementation of the 2015 Paris Agreement under the United Nations Framework Convention on Climate Change in urban areas. The convention, which was ratified by national governments, does not explicitly mention cities, but acknowledges the importance of stronger and more ambitious climate action, and of the efforts of all non-party stakeholders, inviting them to scale up their efforts (Paris Agreement, section V. 134-137). The convention also insists on the importance of integrated, holistic and balanced non-market approaches available to parties to assist in the implementation of their Intended Nationally Determined Contributions (INDCs), which is the tool through which the Paris Agreement is implemented nationally. Illustrating the crucial role of cities in addressing climate change, a study on INDCs revealed that two thirds of them (110 out of 162) contained clear urban references and content, identifying cities and human settlements as key implementing partners for achieving their targets (UN-Habitat, 2016b).

INDCs can only work effectively when they are aligned with existing national policies on climate change, coordinated horizontally across relevant sectorial policies, and coordinated vertically among all levels of government. The Habitat III Policy Paper 3 argues that "cities must be at the centre of actions to tackle climate change" and that this requires "coordination and alignment mechanisms across different levels of government". This makes NUPs a key instrument to coordinate policies between governmental levels and to mainstream the principles of climate change adaptation and mitigation for the implementation of the Paris Agreement in urban areas. NUPs can address climate-change adaptation and mitigation by promoting such actions as low carbon urban development, design and construction; efficient provision and consumption of energy; and development patterns and transport systems that encourage non-motorised transport; the analysis and consideration of climate-related risks and the protection of ecosystems (UN-Habitat, 2016c, United Nations, 2016a).

This instrumental role of NUPs in implementing the Paris Agreement in urban areas also answers Target 13.2 of the Sustainable Development Goals to "integrate climate change measures into national policies, strategies and planning" (United Nations, 2016b); and paragraph 79 of the New Urban Agenda and its call to "promote international, national, subnational and local climate action, including climate-change adaptation and mitigation" (United Nations, 2016c).

7.2 NUPP: a global programme to support NUP development

NUPs are a crucial tool for states to harness the opportunities of urbanisation for national development, but they are also instrumental in the implementation and monitoring of the global urban agenda for sustainable development. However, the discussions in this report make clear that developing a NUP is a complex and lengthy process for which states can sometimes have inadequate capacity and knowledge. The National Urban Policy Programme (NUPP) aims to remove obstacles and facilitate the worldwide development of NUPs.

Background and objectives

While NUPs are increasingly acknowledged to be an important tool to help achieve global agendas, their global adoption and implementation is still limited, as this report reveals. Obstacles to a wider implementation of NUPs include: insufficient awareness about the importance of managing urbanisation at all levels of government; inadequate access to the urban data, knowledge and tools for evidence-based policy-making; and a capacity gap among national and subnational governments, with inadequate human, financial and institutional resources to undertake a NUP process.

The New Urban Agenda acknowledges the importance of NUPs (United Nations 2016b: 89), but goes further in its considerations to ensure effective implementation, encouraging the building of enabling environments and the appropriate capacities for all levels of governments. For instance, it promotes international cooperation, partnerships and efforts in capacity development, including the sharing of knowledge and best practices, policies and programmes among governments at all levels (United Nations 2016b). The National Urban Policy Programme (NUPP) is meant to address these issues of governance, capacity and knowledge sharing to facilitate the development of NUPs and to contribute to the implementation of the New Urban Agenda and other global agreements. The NUPP was launched during Habitat III, by UN-Habitat, the OECD and Cities Alliance, drawing on a long history of partnership on NUPs between these international organisations.

The NUPP aims to provide a foundation of knowledge on NUPs, through a forum for knowledge creation, centralisation and exchange, to provide decision-makers with the adequate data, knowledge and tools to develop a NUP. Other objectives include direct assistance, such as providing training to policy-makers and other relevant stakeholders to help them develop specialised skills to directly bridge the capacity gap or offering technical assistance and advisory services for every stage of the NUP cycle within a country. Finally, it also aims to build a platform for all levels of government, the private sector and civil society actors and any other relevant stakeholder to be engaged, network and exchange, to encourage transfer of best practices and policies, and raise awareness of NUPs.

Proposed activities under the NUPP

To achieve its objectives, the NUPP has identified five main pillars:

1. **Knowledge creation and management**: The programme supports national governments by collecting and analysing data, documents and sharing best practices on NUP across the world and encouraging policy learning and transfer.

2. **Platform for capacity development activities:** The programme conducts assessment and development of human, financial and institutional capacity of government actors at all levels to ensure that a NUP can be successfully developed, implemented, monitored and evaluated.

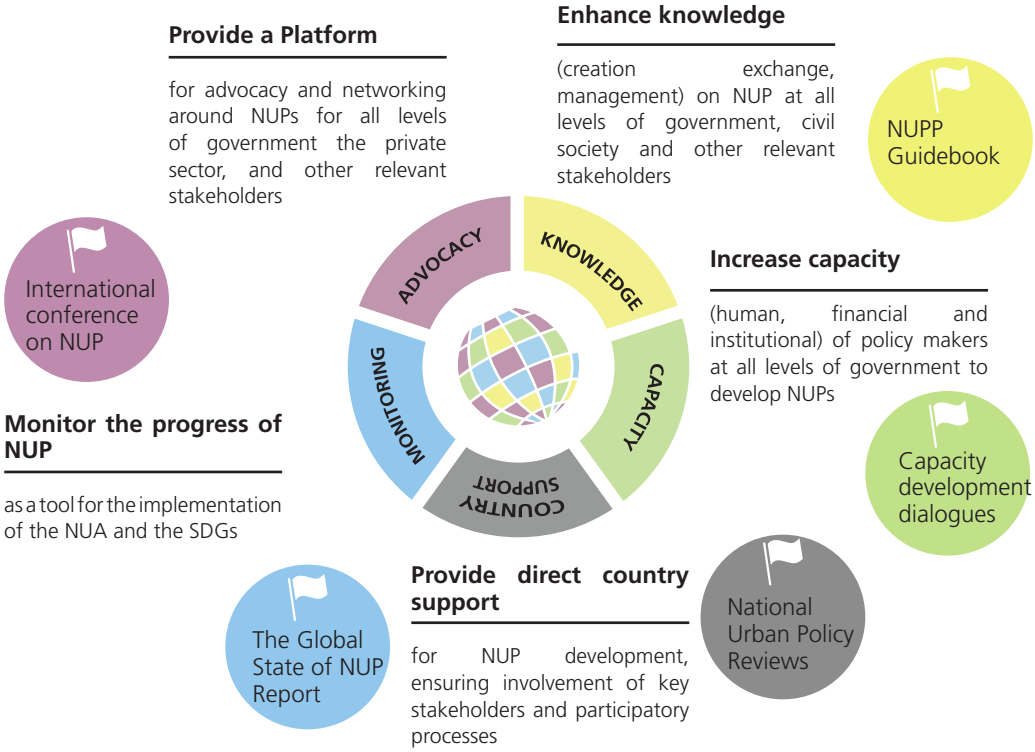
3. **Country support to increase urban governance through NUPs**: This consists of engagement at the country level to assist in strengthening governance coordination across all levels of government and relevant actors of civil society and the private sector, as well as ensure that the NUP developed is adapted to the specificities of the national context.

4. **Monitoring the process of NUP**: As NUPs constitute a key implementation tool of the New Urban Agenda and the Sustainable Development Goals, monitoring their development participates in monitoring the progress of the implementation of these agendas. The NUPP provides global and regional assessments of the state of NUPs, of which this report is a part, and supports countries in their monitoring and evaluation stage.

5. **Engaging stakeholders, networking and partnership building**: As inclusive collaboration is often stressed as being an important implementation mechanism in the NUA, the NUPP provides a platform to engage, mobilise and connect all relevant stakeholders to the NUP process, to eventually build strong partnerships and an active network. It also serves to advocate for NUP in global processes and events. The organisation of international conferences on NUPs is an occasion for high-level policy dialogue to occur.

UN-Habitat, the OECD and Cities Alliance will coordinate the NUPP activities. This programme is strengthened and rendered truly effective and impactful through the wide engagement of stakeholders involved in the NUP process, from all levels of government, civil society, the private sector and academia, to bring about a stronger and more connected network, and to share more knowledge and experience.

Figure 7.2 Proposed Activities of the NUPP



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8

CONCLUSIONS AND RECOMMENDATIONS FOR NATIONAL URBAN POLICY IN SUPPORT OF GLOBAL AGENDAS

Conclusions

The accelerating process of urbanisation is acknowledged today as a crucial and complex policy issue, and for which the repercussions go beyond traditional city boundaries into national and global concerns. Matters of climate resilience or vulnerability, environmental sustainability or degradation, social equity or turmoil, economic competitiveness or decline, all converge in urban areas, and involve a variety of actors from all levels of government, civil society and communities, and domestic and foreign businesses. Recent global agreements, such as the Agenda 2030 for Sustainable Development, the New Urban Agenda and the Paris Agreement on Climate Change, illustrate this realisation, identifying the management of urbanisation as a global priority and a national responsibility. Within this framework, NUPs are highlighted as being a primary tool for governments to articulate the implementation of such global commitments and the definition of a national vision for sustainable urban development, by engaging, coordinating and leading multiple actors across different sectors and scales.

This report is the first assessment of the state of NUPs at the global scale. It aims to record the global advancement of NUPs as an indicator of the implementation of global agendas and to provide national governments, and other stakeholders involved in the NUP process, with more information and perspective for the successful development of a NUP. While it would be beyond the scope of a global report to provide a detailed blueprint for NUP development, as this should be tailored to national needs and aspirations, this report still highlights general opportunities, challenges, trends and best practices of NUP development at global and regional scales. The first finding of this study reveals encouraging trends for global NUP development, indicating that governments recognise the importance of urbanisation for national development. Engagement in the NUP process has been identified in a majority of UN Member States (150), with 39 per cent of them having explicit NUPs, indicating a more comprehensive and inter-sectoral approach to urban policy development and, consequently, to urbanisation. Moreover, this new generation of NUPs appears to be on the rise, with 35 per cent of explicit NUPs in the early formulation stage, compared to only 6 per cent of partial NUPs. Another indicator of the commitment to managing urbanisation is the dedication of a specialised national urban agency, which is the case for 39 per cent of NUPs. Finally, this progress is particularly significant in certain developing and fast-urbanizing regions. The Asia and the Pacific region and Africa, for instance, demonstrate the highest rates of explicit NUP adoption (40 per cent and 39 per cent of regional NUPs respectively), and 59 per cent of African NUPs are managed by a national urban agency specialised on urban policy.

Beyond the legal and institutional commitment of governments to urban policy, the thematic analysis of NUP content illustrates the main aspirations and issues addressed. The themes receiving the highest level of attention from NUPs globally are economic development and spatial structure, illustrating an awareness of urbanisation as an opportunity for increased economic performance. However, given the interconnectedness of urban issues, a successful NUP must take into account and coordinate a variety of sectors to successfully address these issues. The report still indicates a certain thematic asymmetry in global NUPs. The most concerning aspect is the insufficient attention paid to matters of environmental sustainability and climate resilience. The growing recognition of the weight of urbanisation on environmental issues illustrated in the SDGs or the Paris Agreement, and the fact that extremely vulnerable regions such as the Arab States and Africa address it the least in their NUPs, calls for action to raise awareness, capacity and resources to integrate a concern for climate change and environmental issues much more strongly into NUPs.

Finally, other crucial considerations concern governance and capacity. Institutional inadequacies and lack of resources are revealed as major obstacles for the successful development

and implementation of a NUP. To build a truly collaborative and coordinated governance structure that can navigate the multidisciplinary and multi-stakeholder dimensions of NUPs, national and subnational roles and responsibility must be defined and articulated coherently, taking into account the distinct competences and legitimacies of each level. Participatory mechanisms and partnerships should also be used to engage non-governmental stakeholders from the private sector and civil society throughout the NUP process to ensure an inclusive approach to urban policy development. The sufficient capacity to participate and carry out determined responsibilities within the process must be ensured, particularly for local governments, which often lack the adequate resources and tools, given their essential role in engaging communities and adapting national objectives to local contexts.

For a larger and more efficient global development of NUPs, national governments, international organisations and other urban stakeholders need to work to remove obstacles to capacity, awareness and resources. This is the function of global programmes such as the NUPP, but must also involve other actors concerned with urban policy and the implementation of Agenda 2030, the New Urban Agenda and other global agreements. To this end, the insights, lessons and potential directions drawn from this report are presented below as 10 key recommendations, with the hopes that they, and the information found in this report, will strengthen the adoption of NUPs globally.

Recommendations

Recommendation 1. A NUP is a potentially powerful tool through which to manage urbanisation to achieve economic, social and environmental goals. National governments, in conjunction with other urban stakeholders, should take the lead in developing and implementing an explicit NUP to both secure their own national development opportunities arising from urbanisation as well as to meet their globally agreed responsibilities under such frameworks as the Sustainable Development Goals (Goal 11 in particular).

Recommendation 2. No country has the same conditions, whether in terms of economic and social development or of history, geography, demography, political arrangements or cultural heritage. Where NUPs are developed, these should be sensitive to national circumstances and context, including the current state of urbanisation, future population dynamics and the prospective trajectory for future urban development.

Recommendation 3. There is a clear need for improvement in the way that national governments operate in terms of the institutional arrangements for formulation and implementation of a NUP. Enhancing the presence of national urban agencies and strengthening their capacity to undertake a NUP is an urgent task with a view to a wider strengthening of NUPs. NUPs would benefit from a dedicated national urban agency that has the mandate and capacity to lead policy development across multiple national-level policy portfolios and to coordinate various levels of government within the country. Although it was more common in some regions for countries to have a dedicated agency to oversee their NUP, this was far from a global trend. Many countries had a national planning agency that was not necessarily given the task of coordinating multiple governmental portfolios and levels.

Recommendation 4. Resourcing is a major weakness in the development and implementation of NUPs. Globally, countries and regions have proved generally capable of developing goals and objectives for their NUPs and moderately able to establish implementation arrangements in terms of policy instruments and institutional arrangements. There is a clear need for improved resourcing of NUP development and implementation, especially in particular global regions and nations that are struggling with adequately resourcing their NUPs.

Recommendation 5. Some topic areas within NUPs are being more strongly addressed

than others. Human development is the predominant objective of NUPs, along with economic development. Spatial integration is another commonly addressed topic within NUPs. In contrast, environmental sustainability and climate change resilience receive much less attention, despite their centrality to both economic and human development. Many of the SDGs cannot be addressed without addressing environmental and climate change issues. National governments must give greater attention within their NUPs to environmental sustainability and climate-change resilience issues.

Recommendation 6. Regional patterns may be observed among NUPs, though these are not definitive. Taking them into account would assist nations developing and implementing NUPs to observe and learn from the experience of other nations, including sharing their experience of managing urbanisation at the national level. Regional networks of national governments may be an appropriate means through which to share NUP development practices and to identify what works and what does not work in given circumstances. There is the potential to establish regional forums for discussion of NUPs and cross-national learning.

Recommendation 7. This report relied on a very large information gathering effort across the five global regions assessed and involved large teams of researchers. There is a clear need to better organise the reporting and collation of information about the status of NUPs and to compile this information in a format that provides easy public access. A national reporting arrangement could be established so that each country reports its actions on a NUP against an identifiable set of criteria. This reporting should ideally be aligned with existing international reporting mechanisms, such as the SDG indicator framework. These criteria could be developed from the summary material developed in this project, including:

- Whether the NUP is explicit or partial
- The goals and objectives of the NUP
- The scope of the NUP in terms of sectoral content (economic, spatial, human development, environmental sustainability, climate resilience)
- The key elements of the spatial framework for the NUP
- Status of a NUP in terms of stage of development (diagnostic through to monitoring and evaluation)
- Status of the agency responsible for a NUP and sub-agencies
- State and effectiveness of institutional arrangements for implementing a NUP
- State and effectiveness of national policy instruments for applying a NUP
- State of national capacity to undertake a NUP, including technical and administrative capabilities
- State of stakeholder involvement in a NUP, including civil society and the private sector
- State of barriers and opportunities faced in developing and implementing a NUP
- Any emerging success stories and case studies from the national experience

Recommendation 8. There is a clear need for regular summary reporting at the global and regional scale to support improved NUP making. This will be necessary to track the contribution of NUPs to the global attainment of key goals, such as the implementation of the New Urban Agenda and SDGs. International organisations should work to jointly identify a suitable framework and planning schedule for regular state of NUP reporting. Given the pace of policy change, a two- to three-year reporting cycle may be appropriate depending on the effectiveness of the information gathering.

Recommendation 9. Many countries are struggling to establish explicit NUPs. There is a clear need for global policy agencies, such as UN-Habitat, OECD and other international institutions to partner and target their resources to getting all countries to an identified benchmark level of NUP development, for example through the National Urban Policy Programme. This should include an explicit NUP, a clear set of goals and objectives, a spatial framework, workable policy instruments, a suitable set of institutional arrangements, capability and capacity development and clear lines of stakeholder involvement, all of which take into account local contexts.

Recommendation 10. Subnational governments have a crucial role to play throughout the NUP process. While national governments are in the position to lead and coordinate policy-making, subnational governments are able to provide knowledge of the local context and adapt national objectives, and to engage stakeholders and civil society through participatory and partnership mechanisms. A NUP should ensure that they have the necessary capacity to carry out these responsibilities, by providing technical assistance, fiscal decentralisation and adequate policy instruments.

9
APPENDICES

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APPENDIX A: COUNTRY INDICATORS

Country name (n = 150)	Total Population (thousands)	Urbanisation rate (%)	Annual urban population growth (2010-15, average %)	Country Income Classification Index	Human Development Index (0-1)
AFRICA					
Angola	25 022	44	4.97	Upper Middle	0.532
Botswana	2 262	57	1.29	Upper Middle	0.698
Burkina Faso	18 106	30	5.87	Low	0.402
Burundi	11 179	12	5.66	Low	0.400
Cabo Verde	521	66	1.99	Lower Middle	0.646
Cameroon	23 344	54	3.60	Lower Middle	0.512
Chad	14 037	22	3.42	Lower Middle	0.392
Comoros	788	28	2.67	Low	0.503
Congo	4 620	65	3.22	Middle Income	0.591
Democratic Republic of the Congo	77 267	42	3.96	Low	0.433
Côte d'Ivoire	22 702	54	3.69	Lower Middle	0.462
Djibouti	888	77	1.60	Lower Middle	0.470
Eritrea	5 228	23	5.11	Low	0.391
Ethiopia	99 391	19	4.89	Low	0.442
Gabon	1 725	87	2.70	Upper Middle	0.684
Gambia (Republic of the)	1 991	60	4.33	Low	0.441
Ghana	27 410	54	3.40	Lower Middle	0.579

Country name (n = 150)	Total Population (thousands)	Urbanisation rate (%)	Annual urban population growth (2010-15, average %)	Country Income Classification Index	Human Development Index (0-1)
Guinea	12 348	37.2	3.82	Low	0.414
Kenya	46 050	26	4.34	Lower Middle	0.548
Liberia	4500	49	0.8	Low	0.430
Madagascar	24.235	35.1	4.69	Low	0.512
Malawi	17.215	16	3.77	Low	0.445
Mali	17 600	40	5.08	Low	0.419
Mauritania	4 068	60	3.54	Lower Middle	0.506
Mauritius	1 273	40	-0.08	Upper Middle	0.777
Mozambique	27 978	32	3.27	Low	0.416
Namibia	2 459	46	4.16	Upper Middle	0.628
Nigeria	182 202	48	4.66	Lower Middle	0.514
Rwanda	11 610	29	6.43	Middle	0.483
Senegal	15 129	44	3.59	Lower Middle	0.466
Somalia	10 787	40	4.06	Low	-
South Africa	54 490	65	1.59	Upper Middle	0.666
South Sudan	12 340	19	5.05	Low	0.467
Togo	7 305	39	3.83	Low	0.484
Uganda	39 032	16	5.43	Low	0.483
United Republic of Tanzania	53 470	32	5.36	Low	0.521
Zambia	16 212	33	4.32	Lower Middle	0.586
Zimbabwe	15 603	32	2.30	Low	0.509

Country name (n = 150)	Total Population (thousands)	Urbanisation rate (%)	Annual urban population growth (2010-15, average %)	Country Income Classification Index	Human Development Index (0-1)
ASIA AND THE PACIFIC					
Afghanistan	32 527	27	3.96	Low	0.465
Australia	23 969	89	1.47	High	0.935
Bangladesh	160 996	34	3.55	Lower Middle	0.570
Bhutan	775	39	3.69	Lower Middle	0.605
Brunei Darussalam	423	77	1.79	High	0.856
Cambodia	15 578	21	2.65	Low	0.555
China	1 376 049	56	3.05	Upper Middle	0.727
Fiji	892	54	1.45	Upper Middle	0.727
India	1 311 051	33	2.38	Lower Middle	0.609
Indonesia	257 564	54	2.69	Lower Middle	0.684
Iran (Islamic Republic of)	79 109	73	2.07	Upper Middle	0.766
Israel	8044	92	0.89	High	0.7
Japan	126 573	93	0.56	High	0.891
Kiribati	112	44	1.78	Lower Middle	0.590
Kyrgyzstan	5 940	36	1.58	Lower Middle	0.655
Lao People's Democratic Republic	6 802	39	4.93	Lower Middle	0.575
Malaysia	30 331	75	2.66	Upper Middle	0.779
Maldives	364	46	4.49	Upper Middle	0.706
Marshall Islands	53	73	0.59	Upper Middle	-

Country name (n = 150)	Total Population (thousands)	Urbanisation rate (%)	Annual urban population growth (2010-15, average %)	Country Income Classification Index	Human Development Index (0-1)
Micronesia (federated states of)	104	22	0.27	Lower Middle	0.640
Mongolia	2 959	72	2.78	Upper Middle	0.727
Myanmar	53 897	34	4.49	Lower Middle	0.536
Nauru	10	100	0.19	Middle	-
Nepal	28 514	19	3.18	Low	0.548
New Zealand	4 529	86	1.05	High	0.913
Pakistan	188 925	39	2.81	Lower Middle	0.538
Palau	21	87	1.66	Upper Middle	0.780
Papua New Guinea	7619	13	2.12	Lower Middle	0.505
Philippines	100 699	44	1.32	Lower Middle	0.668
Republic of Korea	50 293	82	0.66	High	0.898
Samoa	193	19	-0.24	Lower Middle	0.702
Singapore	5 604	100	2.02	High	0.912
Solomon Islands	584	22	4.25	Lower Middle	0.506
Sri Lanka	20 715	18	0.84	Lower Middle	0.757
Thailand	67 959	50	2.97	Upper Middle	0.726
Timor-Leste	1 185	33	3.75	Lower Middle	0.595
Tonga	106	24	0.71	Upper Middle	0.717
Turkey	78 666	73	0.7	Upper Middle	0.76
Turkmenistan	5 374	50	1.94	Upper Middle	0.688
Tuvalu	10	60	1.90	Upper Middle	-

Country name (n = 150)	Total Population (thousands)	Urbanisation rate (%)	Annual urban population growth (2010-15, average %)	Country Income Classification Index	Human Development Index (0-1)
Uzbekistan	29 893	36	1.45	Lower Middle	0.675
Vanuatu	265	26	3.42	Lower Middle	0.594
Viet Nam	93 448	34	2.95	Lower Middle	0.666
ARAB STATES					
Algeria	39 677	70	3.75	Upper Middle	0.736
Bahrain	1 377	89	1.71	High	0.824
Egypt	91 508	43	1.68	Lower Middle	0.690
Iraq	36 423	69	3.01	Upper Middle	0.654
Jordan	7 595	84	3.79	Upper Middle	0.748
Kuwait	3 892	98	3.63	High	0.816
Lebanon	5 851	88	3.18	Upper Middle	0.769
Libya	6 278	78	1.13	Upper Middle	0.724
Morocco	34 378	60	2.26	Upper Middle	0.628
Oman	4 491	78	8.54	High	0.793
Qatar	2 235	99	6.02	High	0.850
Saudi Arabia	31 540	83	3.75	High	0.837
Sudan	40 235	34	2.54	Lower Middle	0.479
Syrian Arab Republic	18 502	57	1.37	Lower Middle	0.594
Tunisia	11 254	67	1.38	Upper Middle	0.721
United Arab Emirates	9 157	86	2.87	High	0.835
Yemen	26 832	34	4.03	Lower Middle	0.498

Country name (n = 150)	Total Population (thousands)	Urbanisation rate (%)	Annual urban population growth (2010-15, average %)	Country Income Classification Index	Human Development Index (0-1)
EUROPE AND NORTH AMERICA					
Albania	2897	57	2.21	Upper Middle	0.733
Austria	8545	66	0.40	High	0.885
Belarus	9 496	77	0.05	Upper Middle	0.798
Belgium	11 299	98	0.48	High	0.890
Bosnia and Herzegovina	3 810	40	0.14	Upper Middle	0.733
Bulgaria	7 150	74	-0.31	Upper Middle	0.782
Croatia	4 240	59	-	High	0.818
Czech Republic	10 543	73	0.35	High	0.870
Denmark	5 669	88	0.60	High	0.923
Estonia	1 313	68	-0.45	High	0.861
Finland	5 503	84	0.50	High	0.883
France	64 395	80	0.84	High	0.888
Germany	80 689	75	0.16	High	0.916
Greece	10 955	78	0.47	High	0.865
Hungary	9 855	71	0.47	High	0.828
Iceland	329	94	0.1	High	0.9
Ireland	4 688	63	1.58	High	0.916
Latvia	1 971	67	-0.67	High	0.819
Lithuania	2 878	67	-0.53	High	0.839
Luxembourg	567	90	0.4	High	0.89

Country name (n = 150)	Total Population (thousands)	Urbanisation rate (%)	Annual urban population growth (2010-15, average %)	Country Income Classification Index	Human Development Index (0-1)
Netherlands	16 925	90	0.72	High	0.922
Poland	38 612	61	-0.10	High	0.843
Portugal	10 350	63	0.97	High	0.830
Republic of Moldova	4 069	45	-0.73	Lower Middle	0.693
Romania	19 511	55	0.01	Upper Middle	0.793
Serbia	8 851	56	-0.34	Upper Middle	0.771
Slovak Republic	5 426	54	-0.31	High	0.844
Slovenia	2 068	50	0.08	High	0.880
Spain	46 122	80	0.72	High	0.876
Sweden	8251	86	0.2	High	0.907
Switzerland	8299	74	1.08	High	0.930
Ukraine	44 824	70	-0.33	Lower Middle	0.747
United Kingdom	64 716	82	0.88	High	0.907
LATIN AMERICA AND THE CARIBBEAN					
Argentina	43 417	92	1.04	High	0.836
Bolivia	10 725	69	2.26	Lower Middle	0.662
Brazil	207 848	86	1.17	Upper Middle	0.755
Chile	17 948	90	1.09	High	0.832
Colombia	48 229	76	1.66	Upper Middle	0.722
Costa Rica	4 808	77	2.74	Upper Middle	0.766
Cuba	11 390	77	0.07	Upper Middle	0.769

Country name (n = 150)	Total Population (thousands)	Urbanisation rate (%)	Annual urban population growth (2010-15, average %)	Country Income Classification Index	Human Development Index (0-1)
Dominican Republic	10 528	79	2.60	Upper Middle	0.715
Ecuador	16 144	65	1.90	Upper Middle	0.732
El Salvador	6127	67	1.40	Lower Middle	0.666
Guatemala	16 434	52	3.40	Lower Middle	0.627
Honduras	8 075	55	3.14	Lower Middle	0.606
Mexico	127 017	79	1.57	Upper Middle	0.755
Nicaragua	6 082	59	1.96	Lower Middle	0.631
Panama	3929	67	2.07	Upper Middle	0.780
Paraguay	6 639	60	2.10	Upper Middle	0.679
Peru	31 377	79	1.69	Upper Middle	0.734
Uruguay	3 432	95	0.53	High	0.793
Venezuela (Bolivarian Republic of)	31 108	89	1.54	High	0.762

Source; UNDP Human Development Report 2015; United Nations Department of Economic and Social Affairs – Population Division 2015 Urbanisation level and Total Population; Data World Bank Databank 2014 – Country Income Index.

** '-'indicates information not available*

APPENDIX B: DETAILS OF NUP AND LEADING URBAN AUTHORITY

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
AFRICA							
Angola	Política Nacional de Ordenamento do Território e do Urbanismo	2015	Interim-Poverty Reduction Paper New Cities Approach	Explicit	Feasibility	Ministry of Urbanisation and Development	Specialised
Botswana	National Settlement Policy	1998	National Housing Policy Urban Development Standard (1992), town and Country Planning Act (2013)	Partial	Monitoring and Review	Ministry of Lands and Housing and Department of Town and Regional Planning	Specialised
Burkina Faso	Politique Nationale Urbaine	2017	Istanbul Declaration 1996; Strategies Framework	Explicit	Diagnostic	Ministry of Housing and Urban Development	Specialised
Burundi	Burundi Vision 2025	2011-2025	-	Partial	Implementation	-	-
Cabo Verde	Politica Urbana Nacional	2015	Detailed Plans, Legislation (Law 60/VIII/2014)	Partial	feasibility	Ministry of Territorial Development, Housing and Urban Planning and other Municipal Agencies	Specialised
Cameroon	Politique Urbaine Nationale	2014	Land Use Plan, Urban Sketch legislation	Explicit	Monitoring and Evaluation	Ministry of Housing and Urban Development	Specialised
Chad	Strategie National de Logement	2015	Government expected to develop explicit National Urban Policy in 2015 "Durah III'	Explicit	Formulation	Ministry of Housing, Urban Development and Regional Planning	Specialised
Comoros	Poverty Reduction and Growth Strategy Paper	2011	Legislation Urban Development And Construction	Partial	Implementation	Directorate General of Spatial Planning	General
Congo	National Development Plan	-	National Housing Strategy	Partial	Implementation	Ministry of Planning	General
Côte d'Ivoire	Service to Promote Home Ownership Tenure (SPAPF)	2011	City Development Plans since 1928	Partial	Monitoring and Evaluation	Ministry of Construction, Sanitation and Urban Planning, and the Ministry of Housing Promotion	Specialised
Democratic Republic of the Congo	Decree Urbanism	1957	-	Partial	Implementation	-	-

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Djibouti	Strategie nationale de development Urbaine	2012-2015	Master Plans for Urban Planning and Development	Partial	Implementation	Ministry of Housing, Urbanism, and Environment	Specialised
Eritrea	Master Plans for Cities	-	National Indicative Development Plan 2014-2018	Partial	Implementation	Department of Urban Development, part of Ministry of Public Works	Specialised
Ethiopia	Urban Development Policy	2005	Proclamation or Provide for Urban Plans (2008)	Explicit	Monitoring and Evaluation	Ministry of Urban Development of Housing	Specialised
Gabon	Mooted National Urban Development Policy	2014	Right to Housing in 1991 Constitution; Spatial Planning	Partial	Diagnostic	Ministry for Promotion and Investment, Public Works, Transportation, Housing and Tourism	General
Gambia (Republic of the)	Poverty Reduction Strategy	2007-2011	National policy on crime prevention	Explicit	Formulation	Ministry of Local Government and Lands	General
Ghana	National Urban Policy: Action Plan	2012	National Development Plan	Explicit	Implementation	Ministry of Local Development and Rural Development	General
Guinea	Politique Nationale Urbaine	2017		explicit	feasibility	Ministere de la Ville et de l'Amenagement du territoire	Specialised
Kenya	National Urban Development	2012	Physical Planning Act (1996)	Explicit	Formulation	Ministry of Land and Urban Development	Specialised
Liberia	National Urban Policy	2015	Liberia Planning Law on zoning	Explicit	Diagnosis	Ministry of Internal Affairs at the Department of Urban Affairs.	Specialised
Madagascar	Politique Nationale Urbaine	2014		Explicit	Feasibility	General Directorate for Territorial Management and Infrastructure	General
Malawi	National Urban Policy	2013	Local Government Act (1998)	Explicit	Feasibility	Ministry of Lands, Housing and Urban Development	Specialised

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Mali	National Urban Policy: Politique national de la ville	2004	Urban Development Plans	Explicit	Monitoring and Evaluation	Ministry of Planning and Urban Policy	Specialised
Mauritania	Master Plan	2020	Legislation Urban Planning code(2008/09)	Partial	Implementation	Ministry of Equipment, Urbanism and Housing	Specialised
Mauritius	National Development Strategy	2006	Country Strategy Paper (2014-2018)	Partial	Implementation	Ministry of Housing and Lands	General
Mozambique	Politica Urbana Nacional	2017	Country Strategy Paper (2014-2018)	Explicit	Feasibility	Ministry of Housing and Lands	General
Namibia	National Urban Policy	Current	National Housing Policy(reviewed 2009)	Partial	Formulation	Ministry of Urban and Rural Development	Specialised
Nigeria	National Urban Development Policy	2001	-	Explicit	Monitoring and Evaluation	Lands and Urban Development	Specialised
Rwanda	National Urbanisation Policy	2015	National Urban Housing Policy (2008); Poverty Reduction Paper	Explicit	Implementation	Urbanisation, Human Settlement and Housing Development	Specialised
Senegal	Poles Urbaines	-	Urban Development and Decentralisation Program (1998-2004)	Partial	Implementation	Ministry of Urban Planning and Housing	Specialised
Somalia	Somali Urban Development Program for Somali Region	2008	National Development Plan	Explicit	Implementation	Ministry of Planning	General
South Africa	Integrated Urban Development Framework	2009	First consultation document produced 2009, and further draft 2014	Explicit	Formulation	Ministry of Cooperative Governance and Traditional Affairs	General
South Sudan	National Urban Policy	Jun-12	-	Explicit	Formulation	Ministry of Housing and Physical Planning	General
Togo	Declaration of Policy of urban Sector	-	Urban Development and Decentralisation Program (1998-2004)	Partial	Implementation	Ministry of Urban Planning and Housing	Specialised
Uganda	National Urban Policy	2014	Uganda Vision 2040	Explicit	Formulation	Ministry of Housing and Urban Development	Specialised
United Republic of Tanzania	Tanzania Master Plan	2012-2032	Legislation known as Urban Planning Act no. 8 2007, guide urban development.	Explicit	Feasibility	Ministry of Lands, Housing and Human Settlements Development	General

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Zambia	National Urbanisation Policy	2014	Regional Plans prepared by regional authorities, Structure Plans and Local Plans	Explicit	diagnostic	Ministry of Local Government	General
Zimbabwe	Growth Point / Rural Service Centre Strategy	1970-current	Urban Planning Policy Developments	Partial	Implementation	Department of Physical Planning	General
ASIA AND THE PACIFIC							
Afghanistan	National Urban Policy	TBD	Realizing Self Reliance; National Land Policy 2013 Urban National Priority Program 2014	Explicit	feasibility	Directorate of Local Governance	General
Australia	Smart Cities Plan	2010	Our Cities, Our Future – A National Urban Policy for a Productive, Sustainable and Liveable Future, 2011	Explicit	Formulation	Department of the Prime Minister and Cabinet	Not applicable
Bangladesh	National Urban Policy	2011	Sixth Five Year National Plan 2011-2015	Explicit	Implementation	Department of Urban development; Ministry of Local Government	Specialised
Bhutan	National Urban Strategy	2008	Bhutan 2020 Vision 1999	Explicit	Implementation	Ministry of Works and Human settlement, Department of Urban Development and Housing	Specialised
Brunei Darussalam	National Land Use Plan	2010	Master Plan 2008; Vision Brunei 2035	Partial	Implementation	Ministry of Development	General
Cambodia	National Urban Development Strategy 2014-2018	2014	National spatial Policy 2011; National Strategic Green Development Plan 2012-2030	Explicit	Implementation	Ministry of Land Management, Urban Planning and Construction	General
China	National Urbanisation Plan 2014-2020	2014	Twelfth five year Plan 2011-2015	Explicit	Implementation	Urban and Rural Planning department, Ministry of Housing and Urban Development	Specialised
Fiji	Urban Upgrading Project	2014	National Housing Policy 2011; Urban Action Policy 2006; Fiji Green Growth Framework	Explicit	Monitoring and Evaluation	Ministry of Local Government, Urban Development, Housing and Environment	Specialised

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
India	National Urban Policy	2017	National Urban Renewal Mission 2005-2014; Twelfth give year plan 2012-201 100 Smart cities Programme 2014	Explicit	feasibility	Ministry of Urban Development	Specialised
Indonesia	National Policies and Strategies for Urban Development towards Sustainable Competitive Cities for 2045	2015	Master Plan for Expansion and Acceleration of Indonesia' Economic Development 2011	Explicit	Implementation	Ministry of National Development	General
Iran (Islamic Republic of)	National Urban Policy and Smart City Strategy	2017	Vision Tehran 2025 – national policy document focusing on sustainability and democracy of urban management (2013)	Explicit	Implementation	Ministry of Housing and Urban Development	Specialised
Israel	Comprehensive National Master Plan for Construction, Development and Conservation (National Master Plan 35, or Tama 35)	2005, amended 2016	National statutory Spatial Plan	Partial	Implementation	Ministry of Finance – Israel Planning Administration (IPA)	General
Japan	National Spatial Strategy	2015	Urban Renaissance Special Measures Law (2002, revised 2016); FutureCity Initiative (2011)	Partial	Implementation	Cabinet Office; Ministry of Land, Infrastructure, Transport and Tourism	General
Kiribati	Kiribati Development Plans 2012-2015	2012	Squatters Act 2006	Partial	Feasibility	Urban Management Unit, Ministry of Internal and Social Affairs	Specialised
Kyrgyzstan	National Sustainable Development Strategy 2013-2017	2013	Medium Term Development Plan	Partial	Implementation	National council for sustainable Development	General
Lao People's Democratic Republic	Master Plan for Comprehensive Urban Transport in Vientiane capital	2006	Detailed Plans; National socio-economic development plan 2011-2015	Partial	Implementation	Urban Development and Administration authority	Specialised

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Malaysia	National Physical Plan 2010	2010	National Urban Policy 2006	Explicit	Monitoring and Evaluation	Federal Department of Town and Country planning and Ministry of Housing and Local Government	Specialised
Maldives	National Strategies for Dustainable Development	2009	Maldives Vision 2030; National Housing Policy 2006	Partial	Implementation	Ministry of Housing and urban Development	Specialised
Marshall Islands	Vision 2003-2018 Strategic Development Plan Framework	2003	National conservation Area Plan 2008	Partial	Feasibility	Majuro Atoll Local Government	Sub-national
Micronesia (federated states of)	National Strategic Development Plan 2004-2023	2004	National Youth Policy 2004-2010; Land-Use zoning 2006 Master Plan	Partial	Feasibility	Department of Housing and Urban Development	Specialised
Mongolia	Comprehensive National Development Plan	2015	Regional Development Strategy, Green Development Strategy, National Land Management Plan 2004-2023	Partial	Formulation	Ministry of Construction and Urban Development	Specialised
Myanmar	National Urban Policy and Smart City Strategy	2017	Master Plan Yangon National Spatial Development Plan 2015	Explicit	Diagnosis	Ministry of Construction, Department of Housing and City Development Committees	Specialised
Nauru	National Sustainable Development Strategy 2005-2025	Revised 2009	NSDS land use plan2005	Partial	Implementation	Nauru Island Council; Ministry for Finance and sustainable Development	General
Nepal	National Urban Development Strategy	2015	National Urbanisation Policy 2007	Explicit	Implementation	Ministry of Planning and Public works; Department of Urban Development and Building construction	Specialised
New Zealand	National Policy Statement on Urban Development Capacity	2016	National Urban Design Protocol (2005	Explicit	Formulation	Minister for the Environment, and for Building and Housing	General

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Pakistan	Vision 2025	2014	Vision 2030 for Economic Growth; Taskforce urbanisation 2011; Urban Planning and Policy Centre 2014; Public Sector Development Program	Partial	Diagnostic	Physical Planning and Housing Section in Planning Commission; Ministry of Climate change	General
Palau	National Master Development Plan 2020	2006	Economic Development Plan; Management Action Plan 2001	Partial	Feasibility	Ministry of Public Infrastructure, Industries and Commerce	General
Papua New Guinea	PNG National Urban Policy 2010-2030	2010	National Population Policy 2015-2024; Medium Term Development Plan 2011-2015	Explicit	Implementation	Physical Planning Board	General
Philippines	Philippine Development Plan 2010-2016	2010	NUDHFF 2009-2016; National Framework for Physical Planning 2001-2030	Partial	Monitoring and Evaluation	Housing and Urban Development Coordinating Council	Specialised
Republic of Korea	The 4th Comprehensive National Territorial Plan (CNTP)	2000-20	Provincial Territorial Plan	Explicit	Implementation	Ministry of Land, Transport and Maritime Affairs	General
Samoa	National Urban Policy	2013	Vaitele Urban Government pilot project	Explicit	Implementation	Planning and Urban Management Agency, Ministry of Natural Resources and Environment	Specialised
Singapore	Master Plan	2015	Concept Plans	Partial	Monitoring and Evaluation	Urban Redevelopment Authority	Specialised
Solomon Islands	Policy Statement	2015	Solomon Islands National Development Strategy 2011-2020	Explicit	Formulation	Ministry of Lands, Housing and Survey	General
Sri Lanka	Megapolis Plan	2015	System of Cities Vision; National Physical Planning Policy 2011-2030	Explicit	Implementation	Urban Development Authority	Specialised
Thailand	Eleventh National Economic and social Development Plan 2012-2016	2012	Urban Planning Policies 2002; global Warming Action Plan 2007-2012	Partial	Implementation	National Economic and social Development Board,; Ministry of Interior; Bangkok Metropolitan Authority, National Municipal League	General

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Timor-Leste	National Strategic Development Plan 2011-2030	2011	National Housing Policy 2003	Partial	Feasibility	National Development Agency	General
Tonga	National Spatial Plan and Management Act	2012	Strategic Development Framework 2011-2014; Joint National Action on Climate Change Adaption and Disaster risk Management 2010-2015	Partial	Implementation	Planning Urban and Management Division	Specialised
Turkey	Integrated Urban Development Strategy and Action Plan 2010-2023	2010	Urban Transformation Law (2012); Metropolitan Municipality Law (2014)	Explicit	Monitoring and Evaluation	Turkish Ministry of Environment and Urbanisation	General
Turkmenistan	National Development Strategy 2014-2020	2014	Urban Planning Law 2015	Partial	Feasibility	Ministry of Economy and Development	General
Tuvalu	National Strategy for Sustainable Development	2005-2015	National Populating Policy 2011-2015	Partial	Diagnostic	Local Government	Sub-national
Uzbekistan	Master Plan of Population Settlement	2010	Master Plan for Tourism	Partial	Diagnostic	The Uzbek Agency of Communal Services	General
Vanuatu	Draft Vanuatu Land Use Planning and Zoning Policy	2012	Priorities and Action Agenda 2006-2015; National Population Policy 2011-2020; National Subdivision policy	Partial	Diagnostic	Physical Planning Unity Ministry of Internal affairs	General
Viet Nam	National Urban Development Strategy	2016	National Urban Upgrading Strategy 2009 National Urban Development Program 2012-2020	Explicit	feasibility	Ministry of Construction	General
ARAB STATES							
Algeria	Politique de la Ville	2006	Land Use Plan; Development Master Plan; National Territorial Plan	Explicit	Implementation	Ministere de l'interieur et des Collectivities Locales	General
Bahrain	National Planning and Development Strategy	2007	Government program on social housing for low income citizens	Partial	Monitoring and Evaluation	Ministry of Works, Municipalities Affairs, and Urban Planning	Specialised

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Egypt	National Urban Policy	2015	National Urban Development Framework (NUDF) 2014	Explicit	Diagnosis	General Organisation for Physical Planning – Ministry of Housing, Utilities and Urban Development	Specialised
Iraq	National Urban Policy	TBD	National Development Framework 2013-2017	Explicit	feasibility	Ministry of Municipalities and Public works	General
Jordan	National Urban Policy	2016	National Sectoral Policies	Explicit	Diagnosis	Ministry of Municipal Urban Affairs	Specialised
Kuwait	National Urban Policy	TBD	Kuwait Vision 2035 and Kuwait Development Plan 2010	Partial	feasibility	General Secretariat of the Supreme Council for Planning and Development	General
Lebanon	National Urban Policy	2016	Making cities Resilient Campaign National Physical Master Plan for Lebanese Territory 2005	Explicit	Diagnosis	Council for Development and Reconstruction (CDR)	General
Libya	National Physical Perspective Plan	2006-2030	Sub-national plans	Explicit	Formulation	Urban Planning Agency	Specialised
Morocco	Politique de la Ville (PDC or City Policy)	2012	Inventory on build environment, as step to developing climate resilience	Explicit	Implementation	Ministry of Housing and Urban Policy	Specialised
Oman	National Spatial Strategy (2010) and Oman Vision 2040	2010	Regional Spatial Strategies	Partial	Monitoring and Evaluation	Supreme Committee for town and Planning of the Sultanate of Oman	Specialised
Qatar	National Development Strategy	2011-2016	National Vision (2008-2035)	Partial	Implementation	Ministry of Development Planning and Statistics	General
Saudi Arabia	National Urban Policy	2017	Ninth Development Plan (2009-2014) National Spatial Strategy 2015-2019	Partial	Diagnosis	Ministry of Economy and Planning and Ministry of Municipal and Rural Affairs	General
Sudan	National Urban Policy	2016	Comprehensive National Strategy (1992-2002)	Explicit	Diagnosis	National council for Physical Development	General

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Syrian Arab Republic	National Standards for regional Planning and Spatial Planning	2014	Other sectoral policies	Explicit	Formulation	Higher Commission for Regional Planning	General
Tunisia	National Urban Policy	2016	Development Strategy for New Tunisian (2012) Master Plan for Grand Tunis 2016	Explicit	Diagnosis	Ministry of Equipment, Housing, and Urban Planning	Specialised
United Arab Emirates	Urban and Regional Structure Frameworks (2030)	Until 2030	Dubai Master Plan (2030)	Partial	Implementation	Abu Dhabi urban Planning Council and Urban Planning Steering Committee	Specialised
Yemen	Regional Plans	2011	Local Development Plan (2012)	Partial	Feasibility	Ministry of Planning and International Cooperation	General
EUROPE AND NORTH AMERICA							
Albania	Law on Territorial Planning	2009	Law on Urban Planning (1998)	Partial	Implementation	National Territorial council National Territorial Planning Agency; Ministry of Public Works and Transport	General
Austria	Austrian Spatial Development Concept	2011-2020	Local Urban Renewal Schemes; formulation of Agglomeration Policy; Integrated Transport Service and Tariff System	Partial	Implementation	Federal Chancellery (Directorate for Territorial Cooperation)	Not applicable
Belarus	State Scheme of the Territorial Organisation	2000	The National Action Plan for the Development of Towns and Cities (2000)	Partial	Implementation	Ministry of Architecture and Construction	General
Belgium	Federal Big City Policy	1999	Regional urban policies	Partial	Implementation	Federal Public Service	General
Bosnia and Herzegovina	Spatial Plan 2015-2025, Republic of Srpska	2015	Spatial Plan 2007-2015, Republic of Srpska	Partial	Implementation	Ministry of Spatial Planning, Civil Engineering and Ecology	General

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Bulgaria	Regions of Growth	2014-2020	National Strategy and Action Plan on Poverty Reduction and Social Inclusion in Urban Areas (2005); National Program for Development in Bulgaria 2020 (2012)	Partial	Implementation	Ministry of Regional Development	General
Croatia	Physical Planning Strategy and Program of the Physical Plans	1997	National Environment Action Plan (2002)	Partial	Implementation	Ministry of Construction and Physical Planning	General
Czech Republic	Principles of Urban Policy	2010(updated in 2017)	2014-2020 Regional Development Strategy	Explicit	Diagnostic	Ministry of Regional Development	Not applicable
Denmark	Danish Act on Urban Renewal and Urban Development	2015	Ghetto Strategy (2010)	Partial	Implementation	Ministry of Business and Growth; Ministry of Immigration, Integration and Housing	General
Estonia	Regional Development Strategy 2014-2020 (RDS)	2014	Sustainable Estonia (2005); The Estonia 2020 (national competitiveness strategy)	Partial	Implementation	Ministry of Finance	Not applicable
Finland	Urban Growth Agreements	2016-2018	Launching regional innovations and experimentations	Partial	Monitoring and Evaluation	Ministry of Economic Affairs and Employment	General
France	City Policy (Politique de la ville), City Contracts 2015-2020	2014 (updated)	Social Cohesion Contracts (Les Contrats Urbains de Cohésion Sociale - CUCS) 2006-2014	Explicit	Monitoring and Evaluation	The General Commission for Territorial Equality (CGET	Specialised
Germany	National Urban Development Policy – a joint initiative of the federal, state and local governments	2007	Spatial Development Concept and Strategy (2006) / Urban Development Grants(1971-)	Explicit	Monitoring and Evaluation	Ministry of the Environment and Building	General
Greece	Spatial and Urban Planning Reform	2014	Urban II (EU); Regional and City Plans	Partial	Monitoring and Evaluation	Ministry of Environment and Energy	General
Hungary	National Settlement Policy	2016-2017	National Development 2030 – National Development and Territorial Development Concept (NDTC)	Explicit	Formulation	Prime Minister's Office	General

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Iceland	Iceland 2020	2011	-	Partial	Implementation	Prime Minister's Office	General
Ireland	National Planning Framework	2017	National Development Plan (NDP) and the National Spatial Strategy 2002-2020 (NSS).	Partial	Formulation	Department of Environment, Community and Local Government	General
Latvia	Sustainable Development Strategy of Latvia until 2030; National Development Plan 2014-2020; Regional Policy Guidelines until 2019	2010; 2012; 2013	2. Latvian National Development Plan 2014-2020	Partial	Implementation	Ministry of Environmental Protection and Regional Development	Specialised
Lithuania	City Strategic Plan- Vilnius	2002-2022	Lithuania Housing Strategy 2004-2020	Partial	Implementation	Ministry of Environment	General
Luxembourg	Master Programme for Spatial Planning (Programme Directeur d'Aménagement du Territoire) or PDAT	2003	Integrated Transport and Spatial Planning Concept (Concept intégré des transports et du développement spatial pour le Luxembourg) or IVL, 2004	Partial	Monitoring and Evaluation	Ministry of Sustainable Development and Infrastructure	Specialised
Netherlands	Dutch Urban Agenda (Agenda Stad)	2009-2017	National Policy Strategy for Infrastructure and Spatial Planning (SVIR), 2012	Explicit	Formulation	Ministry of Interior and Kingdom Relations, in partnership with the Ministry of Infrastructure and Environment and the Ministry of Economic Affairs	General
Poland	National Urban Policy 2023 / Strategy for Sustainable Development (SRD)	20-Oct-15, 14-jan-17	National Strategy for Regional Development 2010-2020: Regions, cities, Rural Areas (adopted 2010); National Spatial Development Concept 2030 (adopted 2011).	Explicit	Implementation	Ministry of Economic Development (previously Ministry of Infrastructure and Development),	General
Portugal	Sustainable Cities 2020	2015	EU urban planning programs such as JESSICA initiative (2009); Urban rehabilitation programs	Explicit	Implementation	Direction General for Spatial Planning and Urban Development	General

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Republic of Moldova	Concept of Sustainable Development of Settlements of Republic of Moldova	2001	Law on Urban and Territorial Planning (1996); General Plan of Chisnau's Development till 2020	Partial	Implementation	Ministry of Regional Development and Construction	General
Romania	National sustainable Development Strategy 2013-2030	2008	Territorial and Urban Planning Act (2001)	Partial	Implementation	Ministry of Regional Development and Tourism; Ministry of Development, Public Works and Housing	General
Serbia	Serbia Spatial Plan 2010-2020	2010	Serbia Spatial Plan 1996-2010	Partial	Implementation	Ministry of Construction, Transport and Infrastructure	Specialised
Slovak Republic	Urban Development Policy	TBD	National Regional Development Strategy 2020	Explicit	Formulation	Ministry of Transport, Construction and Regional Development	General
Slovenia	Spatial Development Strategy of Slovenia (SDSS)	2004	Spatial Planning Act (2007)	Partial	Monitoring and Evaluation	Spatial planning at national level (for national infrastructures) is co-ordinated by the Ministry of the Environment and Spatial Planning	General
Spain	Spanish Strategy on Local Urban Sustainability	2011	Housing Plan (2005)	Explicit	Implementation	Ministry of Development	General
Sweden	Livable Cities – the Swedish governmental policy for sustainable urban development	2018 (planned)		Explicit	Formulation	Ministry of the Environment and Energy	General
Switzerland	Federal Agglomeration Policy 2016+	2015	Federal Agglomeration Policy (2001)	Partial	Implementation	Federal Office for Spatial Development	Sub-national
Ukraine	State Strategy for Regional Development 2020	2013	Resettlement Policy Framework	Partial	Implementation	Ministry of Regional Development, Construction, Housing and Communal Services	General
United Kingdom	Cities and Local Government Devolution Act (City Deals)	2016	City Deals (2011-2015); Urban Living Action Plan (2014-2015)	Partial	Monitoring and Evaluation	Department of Communities and Local Government	Not applicable

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
LATIN AMERICA AND THE CARIBBEAN							
Argentina	National Urban and Habitat Plan	2016	-	Explicit	Diagnosis	Ministry of Federal Planning, Public Investment and Services, Department of Public Works Secretary of Urban Development and Housing	Specialised
Bolivia	National Urban Plan	2017	Participatory Urban Planning (1999)	Explicit	feasibility	Ministry of Housing and Basic Services	General
Brazil	Statute of the City	2002	Law 10, 257 City Statute	Explicit	Implementation	National Development Council	General
Chile	National Urban Development Policy	2013	Application for Land Management	Explicit	Monitoring and Evaluation	Ministry of Housing and Urban Development	Specialised
Colombia	National Policy for the Consolodation of System of Cities (Politica Nacional Urbana-sistema de ciudades)	2013-2017		Explicit	Implementation	National Council for Economic and Social Policy	General
Costa Rica	Plan for Metropolitan Area	2013	-	Partial	Implementation	Ministry of Housing and Human Settlements	General
Cuba	Technical assistance to revision of physical planning system	2015	General Plan for Land Management and Urban Development 2012	Explicit	feasibility	EcuRed	General
Dominican Republic	Organic Law of National Development	2012	Strategy for Dominican Republic 2030	Partial	Implementation	Congress	General
Ecuador	National Development Plan for Good Living 2013-2017	2013	Statutory Habitat, Land and Housing Management Act 2012	Partial	Implementation	Ministry of Urban Development and Housing	Specialised
El Salvador	National Urban Policy	TBD	Law on Territorial Planning 2012	Explicit	feasibility	Ministry of Environment and Natural Resources	General

Country (n= 150)	Name of NUP	Year of NUP	Previous NUPs and Year	Form of NUP	Stage of NUP	National Urban Agency	Type of National Urban Agency
Guatemala	National Urban Policy	TBD	K'atun Our Guatemala 2032	Explicit	feasibility	Secretary of Planning and Programming of the Presidency	General
Honduras	Housing Policy and Urban Development	2005	-	Explicit	Implementation	Department of Housing and Urbanism	Specialised
Mexico	National Urban Development Programme	2014	National Housing Programme)	Explicit	Implementation	SEDATU (Secretary of Agrarian, Land and Urban Development)	General
Nicaragua	National Sustainable Development Strategy	2002	-	Partial	Implementation	Presidency of the Republic of Nicaragua	General
Panama	Land Use For Urban Development	2006	-	Partial	Implementation	National Assembly	General
Paraguay	Municipal Organic Law 3,966	2010	-	Partial	Implementation	Paraguay National congress	General
Peru	National Urban Development Plan ' Peru Territory for All' 2006-2015	2006	-	Explicit	Implementation	Ministry of Housing, Construction and Sanitation	General
Uruguay	Law and Land Use and Sustainable Development	2009	-	Partial	Implementation	Senate and House of Representatives of the Oriental Republic of Uruguay	General
Venezuela (Bolivarian Republic of)	Urban Land Law	2009	Organic Law for Planning Management of Law Use	Partial	Implementation	National Assembly of Bolivarian Republic of Venezuela	General

APPENDIX C: THEMATIC SCOPE OF NUP AND LEVELS OF ATTENTION

Country (n = 108)	Name of NUP	Level of attention by theme (●●● = extensive ●● = moderate ● =Low ○ = Insufficient Information)				
		Economic Development	Spatial structure	Human Development	Environmental sustainability	Climate resilience
AFRICA						
Botswana	National Settlement Policy	●	●●●	●●●	●	●
Burundi	Burundi Vision 2025	○	○	○	○	○
Chad	Strategie Nationale de Logement	○	○	○	○	○
Comoros	Poverty Reduction and Growth Strategy Paper	●	●●	●	●	●
Congo	National Development Plan	●●●	●	●	●	●
Côte d'Ivoire	Service to Promote Home Ownership Tenure (SPAPF)	●	●●	●●	●	●
Democratic Republic of the Congo	Decree Urbanism	●	●	●●●	●	●
Djibouti	Strategy nationale de development Urbaine	●●●	●●●	●●●	●	●
Eritrea	Master Plans for Cities	○	○	○	○	○
Ethiopia	Urban Development Policy	●●●	●	●	●	●
Gambia (Republic of the)	Poverty Reduction Strategy	○	○	●	○	○
Ghana	National Urban Policy: Action Plan	●●●	●	●●●	●	●
Kenya	National Urban Development	●●●	●●	●●●	●●●	●●●
Mali	National Urban Policy: Politique nationale de la ville	●●	●	●●	●	●
Mauritania	Master Plan	●	●	●●	●	●
Mauritius	National Development Strategy	●●●	●●●	●●●	●●●	●
Namibia	National Urban Policy	○	○	○	○	○
Nigeria	National Urban Development Policy	●●●	●	●●●	●	●
Rwanda	National Urbanisation Policy	●●●	●●●	●●●	●●	●●
Senegal	Poles Urbains	●	●	●	●	●
Somalia	Somali Urban Development Program for Somali Region	○	●	○	○	●

Country (n = 108)	Name of NUP	Level of attention by theme (●●● = extensive ●● = moderate ● =Low ○ = Insufficient Information)				
		Economic Development	Spatial structure	Human Development	Environmental sustainability	Climate resilience
South Africa	Integrated Urban Development Framework	●●●	●●●	●●●	●●●	●
South Sudan	National Urban Policy	●	●	●●●	●●	●
Togo	Declaration of Policy of urban Sector	●	●	●●●	●	●
Uganda	National Urban Policy	●	●●●	●	●	●●
Zimbabwe	Growth Point / Rural Service Centre Strategy	○	●●	○	○	○
ASIA AND THE PACIFIC						
Australia	Smart Cities Plan	●●●	●	●	●●●	●
Bangladesh	National Urban Policy	●●	●●●	●●●	●●●	●
Bhutan	National Urban Strategy	●●●	●●●	●●	●●	●
Brunei Darussalam	National Land Use Plan	●	●●	●	●	●
Cambodia	National Urban Development Strategy 2014-2018	●●●	●●●	●●●	●●	●●●
China	National Urbanisation Plan 2014-2020	●●	●●	●●	●●	●
Fiji	Urban Upgrading Project	●●	●	●●	●●●	●●
Indonesia	National Policies and Strategies for Urban Development towards Sustainable Competitive Cities for 2045	●●●	●●●	●●	●●	●
Israel	Comprehensive National Master Plan for Construction, Development and Conservation (National Master Plan 35, or Tama 35)	●	●●●	●●	●●	●
Japan	National Spatial Strategy	●●●	●●●	●●	●●●	●●
Kyrgyzstan	National Sustainable Development Strategy 2013-2017	○	●●●	●●	●●	●
Lao People's Democratic Republic	Master Plan for Comprehensive Urban Transport in Vientiane capital	●●	●●	●●	●●	●●
Malaysia	National Physical Plan 2010	●●●	●●●	●●	●●	●●
Maldives	National Strategies for Sustainable Development	●●	●	●●	●	●●●

Country (n = 108)	Name of NUP	Level of attention by theme (●●● = extensive ●● = moderate ● =Low ○ = Insufficient Information)				
		Economic Development	Spatial structure	Human Development	Environmental sustainability	Climate resilience
Mongolia	Comprehensive National Development Plan	●	○	●●	●●	●
Nauru	National Sustainable Development Strategy 2005-2025	●	○	○	○	○
Nepal	National Urban Development Strategy	●●●	●●●	●●●	●●	●●●
New Zealand	National Policy Statement on Urban Development Capacity	●●●	●	●	●●	●
Papua New Guinea	PNG National Urban Policy 2010-2030	●	●●●	●●●	●	●
Philippines	Philippine Development Plan 2010-2016	●●	●●●	●●●	●●●	●●●
Republic of Korea	Comprehensive National Territorial Plan (CNTP)	●●	●●	●●	●●	●●
Samoa	National Urban Policy	●	●●●	●●●	●●●	●●
Singapore	Master Plan	●●	●●●	●●●	●	●
Solomon Islands	Policy Statement	●	●	●●●	●●●	●●
Sri Lanka	Megapolis Plan	●●●	●●●	●	●●●	●
Thailand	Eleventh National Economic and social Development Plan 2012-2016	●	●	●●	●●	●●
Tonga	National Spatial Plan and Management Act	●	●●●	●●●	●●●	●●
Turkey	Integrated Urban Development Strategy and Action Plan 2010-2023	●●●	●●●	●●	●●●	●●
ARAB STATES						
Algeria	Politique de la Ville	●●	●●●	●●	●●	○
Bahrain	National Planning and Development Strategy	●●●	●●	●●	●●●	●
Libya	National Physical Perspective Plan	●	●●●	○	○	○
Morocco	Politique de la Ville (PDC or City Policy)	●●	●●	●●	●●	●●●
Oman	National Spatial Strategy (2010) and Oman Vision 2040	●	●●●	○	○	○
Qatar	National Development Strategy	●●	●	●●●	●●●	●●

Country (n = 108)	Name of NUP	Level of attention by theme (●●● = extensive ●● = moderate ● =Low ○ = Insufficient Information)				
		Economic Development	Spatial structure	Human Development	Environmental sustainability	Climate resilience
Syrian Arab Republic	National Standards for regional Planning and Spatial Planning	●	●●●	●	●	●
United Arab Emirates	Urban and Regional Structure Frame-works (2030)	●	●●	○	○	○
EUROPE AND NORTH AMERICA						
Albania	Law on Territorial Planning	●	●●	○	○	○
Austria	Austrian Spatial De-velopment Concept	●●●	●●●	●●●	●●●	●●
Belarus	State Scheme of the Territorial Organi-sation	○	○	○	○	○
Belgium	Federal Big City Policy	●●●	●●	●●●	●●●	●
Bosnia-Herze-govina	Spatial Plan 2015-2025, Republic of Srpska	●	●●	○	○	●
Bulgaria	Regions of Growth	●	●●	●●	●	●
Croatia	Physical Planning Strategy and Pro-gram of the Physical Plans	●	●	●●	●	●
Denmark	Danish Act on Urban Renewal and Urban Development	●●	●●●	●●	●●	●●
Estonia	Regional Develop-ment Strategy 2014-2020 (RDS)	●●●	●●●	●	●●	●
Finland	Urban Growth Agreements	●●●	●	●●	●●	●
France	City Policy (Politique de la ville), City Con-tracts 2015-2020	●●●	●●	●●●	●	●
Germany	National Urban De-velopment Policy – a joint initiative of the federal, state and local governments	●●●	●●	●●●	●●	●●●
Greece	Spatial and Urban Planning Reform	○	○	○	○	○
Hungary	National Settlement Policy	●●●	●●	●●●	●●●	●●●
Iceland	Iceland 2020	○	○	○	○	○
Ireland	National Planning Framework	●●	●●●	●●	●●●	●●●

Country (n = 108)	Name of NUP	Level of attention by theme (●●● = extensive ●● = moderate ● =Low ○ = Insufficient Information)				
		Economic Development	Spatial structure	Human Development	Environmental sustainability	Climate resilience
Latvia	Sustainable Development Strategy of Latvia until 2030; National Development Plan 2014-2020; Regional Policy Guidelines until 2019	●●●	●●●	●●●	●●●	●●
Lithuania	City Strategic Plan-Vilnius	●	●●	●●	●	●
Luxembourg	Master Programme for Spatial Planning (Programme Directeur d'Aménagement du Territoire) or PDAT	●●●	●●●	●●	●●●	●●
Netherlands	Dutch Urban Agenda (Agenda Stad)	○	○	○	○	○
Poland	National Urban Policy 2023 / Strategy for Sustainable Development (SRD)	●●●	●●●	●●●	●●●	●●●
Portugal	Sustainable Cities 2020	●●●	●●	●●●	●●●	●●
Republic of Moldova	Concept of Sustainable Development of Settlements of Republic of Moldova	●●	○	○	○	○
Romania	National sustainable Development Strategy 2013-2030	●	●	●	●	●
Serbia	Serbia Spatial Plan 2010-2020	○	●●●	○	○	○
Slovak Republic	Urban Development Policy	○	○	○	○	○
Slovenia	Spatial Development Strategy of Slovenia (SDSS)	●	●●●	●	●●	●
Spain	Spanish Strategy on Local Urban Sustainability	●●	●●●	●●	●●●	●●●
Sweden	Livable Cities – the Swedish governmental policy for sustainable urban development	○	○	○	○	○
Switzerland	Federal Agglomeration Policy 2016+	●●●	●●●	●●●	●●●	●●
Ukraine	State Strategy for Regional Development 2020	●●●	●	●●	●	●
United Kingdom of Great Britain and Northern Ireland	Cities and Local Government Devolution Act (City Deals)	●●●	●	●●	●	●

Country (n = 108)	Name of NUP	Level of attention by theme (●●● = extensive ●● = moderate ● =Low ○ = Insufficient Information)				
		Economic Development	Spatial structure	Human Development	Environmental sustainability	Climate resilience
LATIN AMERICA AND THE CARIBBEAN						
Brazil	Statute of the City	●●	●●	●●●	●●	●
Chile	National Urban Development Policy	●●●	●●●	●●●	●●●	●
Colombia	Guidelines for Optimising the National Urban Policy	●●	●●●	●●●	●●	●●
Costa Rica	Plan for Metropolitan Area	●●	●●●	●●	●●●	●●
Dominican Republic	Organic Law of National Development	●●●	●●●	●●	●	●
Ecuador	National Development Plan for Good Living 2013-2017	●●	●●	●●●	●●	●●
Honduras	Housing Policy and Urban Development	●●	●●	●	●	●
Mexico	National Urban Development Programme	●●●	●●	●●●	●●	●
Nicaragua	National Sustainable Development Strategy	●●●	●●●	●	●	●
Panama	Land Use For Urban Development	●●	●●	●●	●●	●
Paraguay	Municipal Organic Law 3,966	●●●	●●	●●	●●	●
Peru	National Urban Development Plan ' Peru Territory for All' 2006-2015	●●●	●●●	●●●	●●	●
Uruguay	Law and Land Use and Sustainable Development	●●●	●●●	●●	●●	●
Venezuela (Bolivarian Republic of)	Urban Land Law	●●●	●●●	●●●	●●●	●

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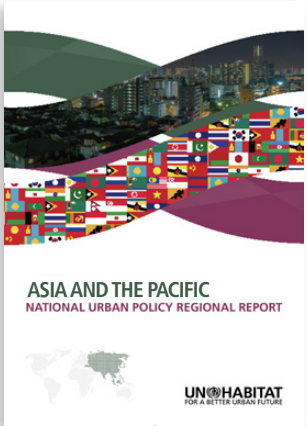

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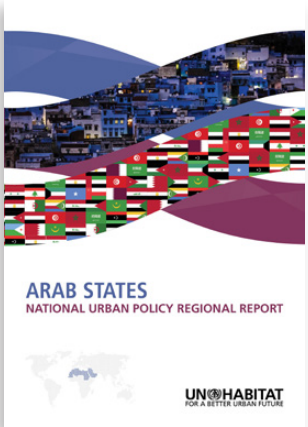

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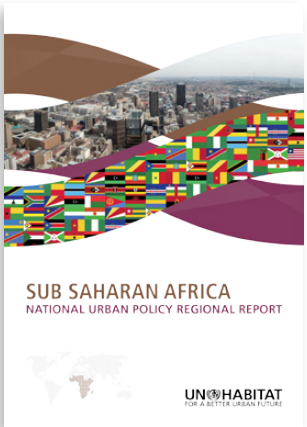

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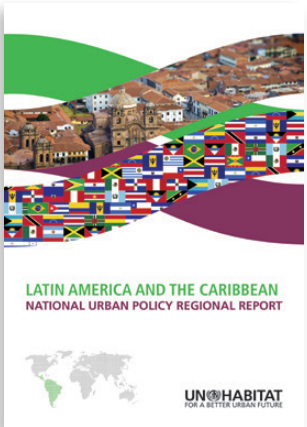
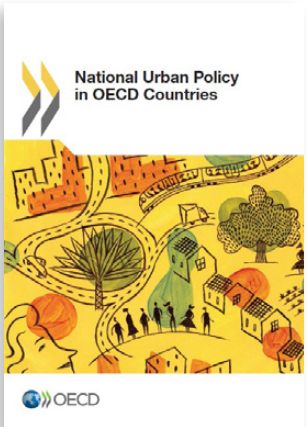


Latin America and the Caribbean National Urban Policy Regional Report



National Urban Policies in OECD Countries Report

UN-Habitat NUP Regional Reports

The focus of UN-Habitat's NUP Regional Reports is to assess the development, implementation, and monitoring and evaluation of National Urban Policy in each global region. Surveying the experience of countries throughout each region, and highlighting both minor and major case studies, the reports emphasize the diversity of national urban policy characteristics on a regional level, but also attempts to identify certain key regional characteristics.

National Urban Policy in OECD Countries

This report, prepared for the United Nations Conference on Housing and Sustainable Urban Development (Habitat III), provides an assessment of the state and scope of NUPs across 35 OECD countries. It also describes how urban policy, and its place in national political agendas, is evolving.

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ABOUT THE UNITED NATIONS HUMAN SETTLEMENTS PROGRAMME (UN-HABITAT)

The United Nations Human Settlements Programme, UN-Habitat, is the agency for human settlements. It is mandated by the UN General Assembly to promote socially and environmentally sustainable towns and cities with the goal of providing adequate shelter for all.

The Regional and Metropolitan Planning Unit(RMPU)

UN-Habitat's Regional and Metropolitan Planning Unit (RMPU) provides tools and services to support national governments, regional and metropolitan authorities in our three areas of expertise; National Urban Policies, Urban and Territorial Planning and Regional and Metropolitan Planning. The unit has recently been supported financially by Cameroon, Cities Alliance, France, South Korea, Norway, Saudi Arabia, Spain and Sweden and cooperates with a wide network of international development organizations (among them Cities Alliance, FAO, GIZ, ICAO, IFAD, OECD, UNCRD) to provide tools aiming at compact, integrated, connected, and socially inclusive cities and strengthening urban, peri-urban and rural areas. The development of our tools is based on a constant dialogue with metropolitan, regional, and national authorities as well as civil society organizations, academia and the private sector aiming for the best possible results for all.

ABOUT THE ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT

The OECD is a unique forum where governments work together to address the economic, social and environmental challenges of globalisation. The OECD is also at the forefront of efforts to understand and to help governments respond to new developments and concerns, such as corporate governance, the information economy and the challenges of an ageing population. The Organisation provides a setting where governments can compare policy experiences, seek answers to common problems, identify good practice and work to co-ordinate domestic and international policies. The OECD member countries are: Australia, Austria, Belgium, Canada, Chile, the Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Israel, Italy, Japan, Korea, Latvia, Luxembourg, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Slovak Republic, Slovenia, Spain, Sweden, Switzerland, Turkey, the United Kingdom and the United States. The European Union takes part in the work of the OECD. OECD Publishing disseminates widely the results of the Organisation's statistics gathering and research on economic, social and environmental issues, as well as the conventions, guidelines and standards agreed by its members.

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The OECD Centre for Entrepreneurship, SMEs, Regions and Cities is the Organisation's hub of excellence in the fields of SME and entrepreneurship policy; regional, urban and rural development; regional and metropolitan area statistics, multi-level governance; and tourism. The Centre manages several programmes and initiatives, such as the Local Employment and Economic Development programme and its Trento Centre to support local development capacity, the Champion Mayors for Inclusive Growth, the Roundtable of Mayors and Ministers, the Water Governance Initiative, the World Observatory on Subnational Government Finance and Investment, and the National Urban Policy Programme.

With two thirds of the world's population projected to live in urban areas by the middle of this century, the accelerating pace of urbanisation generates crucial opportunities and challenges for sustainable development that reach far beyond city boundaries. Many global processes have recognised the importance of urbanisation as well as the roles and responsibilities of national governments vis-à-vis other urban stakeholders.

For instance, urban issues are well articulated in the Agenda 2030, the New Urban Agenda and the Paris Agreement on Climate Change. National urban policies have been identified as being instrumental for governments to coordinate and articulate these global agendas and their own path to sustainable urban development.

Global State of National Urban Policy is a first attempt to assess the status of national urban policy development in 150 countries. In the report you will understand why, how and in what forms NUPs have been developed, implemented and monitored globally.

The report sets a solid foundation for a common methodology to monitor the progress of NUPs at the global level. Further, it outlines how many countries have an explicit NUP, the focus of the policy in each country, the existence or not of a dedicated urban agency or department, and the capacity available for effective policy making.

The report is also a significant contribution to the monitoring and implementation of the New Urban Agenda and the Sustainable Development Goals. In it, policy makers, practitioners and academia will find valuable resources and comparisons to inspire more evidence-based urban policy making for sustainable urban development.

This work is a joint effort between UN-Habitat and the Organisation for Economic Co-operation and Development, and supported by the Royal Melbourne Institute of Technology. It is considered to be an important outcome of the National Urban Policy Programme, a global initiative launched by UN-Habitat, the OECD and Cities Alliance at the Habitat III Conference in October 2016.

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