

NATIONAL URBAN POLICY Feasibility Guide



National Urban Policy Feasibility Guide

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NATIONAL URBAN POLICY

Feasibility Guide

FOREWORD

Urbanization is a complex phenomenon, requiring a sustainable and coordinated approach, in this context a National Urban Policy (NUP) can provide a harmonious framework needed to ensure sustainable urbanization by aligning national sectorial policies which affect urban development. One of UN-Habitat's priorities is to globally ensure an integrated and holistic sustainable urban development across all countries of the world, which a participatory, inclusive and forward looking NUP can provide.

The adoption of the Sustainable Development Goals (SDGs) and the New Urban Agenda (NUA) has provided strong rationale for countries to embark on developing and implementing inclusive and participatory NUP and Frameworks. As of June 2018, UN-Habitat is supporting 40 countries worldwide, including 19 in the African region, in the formulation and implementation of NUPs.

During the Habitat III preparatory process, NUP was recognized as an essential tool for government and other stakeholders to achieve sustainable urbanization. The National Urban Policy Feasibility Guide expounds on the feasibility phase, which is the first step in the development of a NUP. The other phases are diagnostic,

formulation, implementation, monitoring and evaluation. This guide is part of a series of guides on the five phases of NUP development. By working to facilitate vertical and horizontal institutional linkages, the feasibility phase of NUP can help start the urban discussion in a country, assist with the mobilization of stakeholders, align the objectives of a NUP in the country context and define an urban vision and plan.

Countries may be tempted to hasten the feasibility phase of NUP, but it is critical to the successful development, implementation and monitoring of a NUP. One of the key messages which I hope this guide will convey is that NUP should not be seen as the domain of urban specialists. In the quest of leaving no one behind, everyone has a say in their urban development, which is why this guide emphasizes the importance of engaging all key stakeholders.

I recommend this guide to policymakers, civil servants, mayors, citizen groups and all those concerned with the welfare of our urbanizing world. I am confident it will have a significant impact on the development, formulation and implementation, monitoring and evaluation of a modern approach to National Urban Policies in the years to come.

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EXECUTIVE SUMMARY

At a time of increasing globalization, the importance of urbanization in ensuring a nation's socio-economic future cannot be overstated. Cities have, therefore, become important engines of growth for both national and subnational governments. To capitalize on the potential of urbanization, a framework is needed to coordinate the management of urban issues.

For the United Nations Human Settlements Programme (UN-Habitat), a national urban policy (NUP) is a framework that provides the required coordination mechanism needed to promote equitable urban development. Implementing a NUP could lead to enhanced local and national economic growth, ensure an equitable quality of life for all and protect the environment.

As a coordinating framework, a NUP should not only be a list of corrective measures but should also encourage proactive actions that foster economic, social and environmentally sensitive development.

This guide provides a framework for undertaking the feasibility phase of a NUP and draws largely on UN-Habitat's experience in engaging with countries that have requested support for developing and implementing a NUP. Secondary research, an extensive review of literature on urbanization, trends and the state of national urban policies in different countries and regions also inform the development of this guide.

Feasibility is the first of five phases in the NUP process. The other four are diagnosis, formulation, implementation and monitoring & evaluation. One of the main purposes of the feasibility phase is to ensure that key stakeholders appreciate and value the need for developing and implementing a participatory and inclusive NUP. Such understanding is critical to the design of a contextualized NUP process. During the feasibility phase, problems and challenges with NUP development and implementation are identified. This guide explores the process and ways in which the challenges can be met for consensus building around the benefit of a NUP. The document emphasizes engagement with all relevant stakeholders.

At the outset, the partnerships developed between key actors are a critical component of a successful feasibility phase. The guide targets countries that are considering developing a NUP or are already in the feasibility phase. Ideas and suggestions to strengthen stakeholder engagement and participatory approaches to the process are highlighted and it provides guidance for national and subnational governments on who and what is needed during the feasibility phase. As many national and subnational governments are gearing up to use a NUP as a key instrument to implement the New Urban Agenda (NUA) and the Sustainable Development Goals (SDGs), this guide will act as a useful tool to kickstart an informed NUP process.

INTRODUCTION

“Local is global and global is local; sustainability runs through world’s towns and cities. By building sustainable towns and cities, you will build global sustainability.” – United Nations Secretary-General, Ban Ki-Moon, 2012.

Urbanization is a global phenomenon affecting all countries, but processes of rapid urbanization are a particular issue in emerging and developing economies. Urban development has challenges and opportunities – both of which can be managed by well-prepared governments with frameworks in place for urban development.

The strength of a national urban policy as a tool for government to guide and manage urbanization is recognized by article 89 of the NUA, which states: “We will take measures to establish legal and policy frameworks, based on the principles of

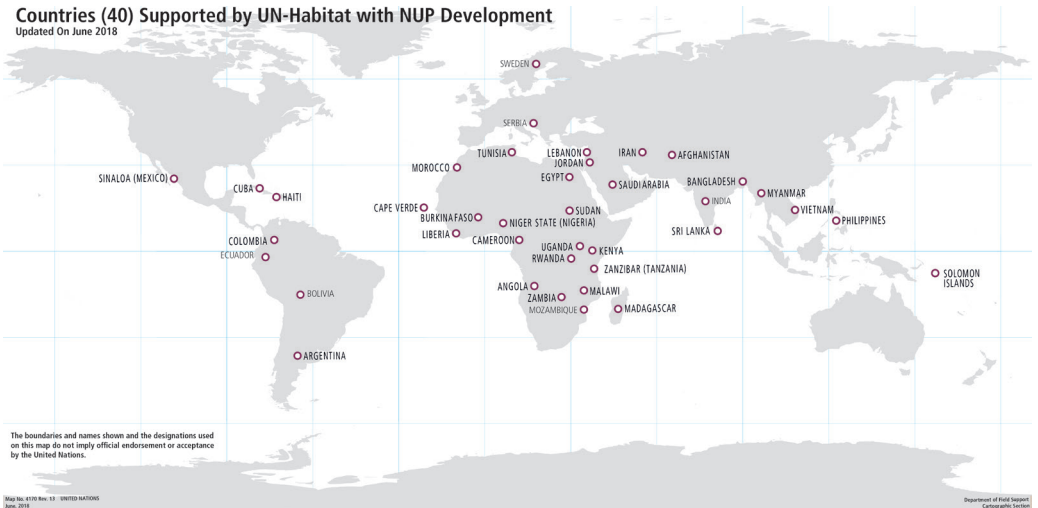
equality and non-discrimination, to enhance governments’ ability to effectively implement national urban policies, as appropriate, and to empower them as policymakers and decision makers, ensuring appropriate fiscal, political and administrative decentralization based on the principle of subsidiarity.”

Globalization has made national governments more responsible for ensuring sustainable cities and they should take an active role in defining a sustainable future for their urban areas through the development and implementation of a NUP.

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 and Cities Alliance,

Figure 1. Countries UN-Habitat supports with NUP Development

Countries (40) Supported by UN-Habitat with NUP Development
Updated On June 2018



The boundaries and names shown and the designations used on this map do not imply official endorsement or acceptance by the United Nations.

Map No. 4170 Rev. 11 UNITED NATIONS June 2018

Department of Field Support Cartographic Section

Source: UN-Habitat

2014). The recognition of the need for a NUP has never been so strong. As of June 2018, UN-Habitat supported **40** countries worldwide, including **19** in the African region, in the formulation and implementation of NUP. This support ranges from technical assistance on the feasibility, diagnostic, formulation, implementation and monitoring phases of a NUP, as well as capacity development, acupuncture projects and stakeholders' engagement.

While urbanization can generate both opportunities and challenges, rapid urbanization in countries with inadequate capacities can exacerbate the challenges and lead to missed opportunities. Furthermore, in some contexts, shrinking urban populations create different, although pressing, urban challenges. In most developing countries, urbanization is bringing about enormous changes in the

spatial distribution of people and resources, and in the use and consumption of land. Although such processes are strongly linked to socio-economic development, many countries lack the supporting policies and frameworks that can be leveraged to increase development gains and guide it towards sustainable patterns.

While urbanization may create vast wealth, enable better use of resources and foster new ones, urbanization challenges seem to outpace the development gains in many instances. The urgency to ensure that governments grasp the importance of a NUP means that more should be done to promote and advocate for one. In this regard, Turok and McGranahan (2013) state: *“While urbanization provides many economic, social and environmental opportunities, urban population growth in low- and middle-income countries is also one of the*

Figure2. Relevance of the NUP to the Sustainable Development Goals



Source: UN-Habitat (2017) *A National Urban Policy for Liberia – Discussion Paper*

major global challenges of the twenty-first century. This makes it all the more important to move beyond rhetorical statements about the economic vitality of cities and the dynamic impact of urbanization, and to deepen our understanding of the processes involved, including how to plan and manage the phenomenon to best effect.”

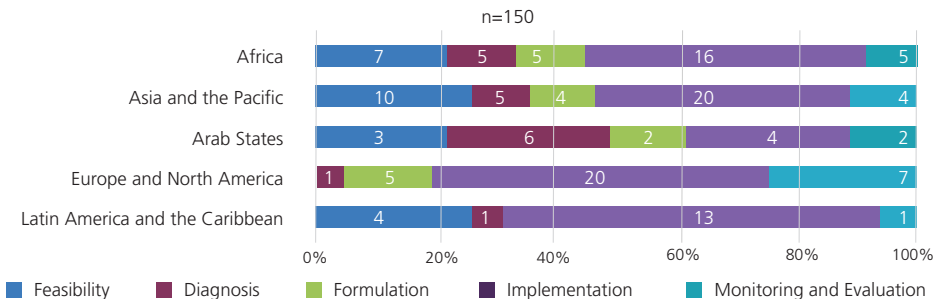
To harness urbanization, mitigate its negative externalities and promote an “urban paradigm shift”, there is a need for a coordinated approach and a clear policy direction. In many countries, governmental agencies are fragmented about the responsibilities, and the coordination between different levels of government is frequently inefficient; overall, these lead to incoherency in creation, implementation and monitoring and evaluation of urban policy.

UN-Habitat recommends that a NUP be developed based on participatory principles; this means involving ministerial departments and subnational authorities, along with the active involvement of other relevant stakeholders such as the private sector, civil society organizations, research and academic organizations. The NUP should be approved by the national government and there needs to be an

action plan for implementation (UN-Habitat and Cities Alliance, 2014). Engaging the different levels of subnational governments in the formulation, implementation and monitoring and evaluation of urban policy is necessary not only to identify and capitalize on the benefits of urbanization in that country, but also to ensure that the NUP is implementable. A NUP should define an agreed national vision for urbanization and a set of guiding principles on cooperation between all stakeholders and national governments to benefit from the rapid concentration of population and economic activity.

The adoption of the Sustainable Development Goals (SDGs) and the New Urban Agenda (NUA) has provided strong rationale for countries to embark on developing and implementing inclusive and participatory NUP and Frameworks. Many countries are now undertaking the NUP processes. According to the UN-Habitat/OECD report Global state of National Urban Policy (2018), of the 150 countries examined, half (76) have adopted explicit NUPs, and half (74) have partial NUPs. Below is a regional breakdown highlighting the substantial variation by region in the stage of NUP.

Figure3. Stage of NUP, Regional Scale



Source: UN-Habitat and OECD (2018): Global State of National Urban Policy

The stage of NUP varies by region, in the Europe and North America region, most countries already implement NUPs. In contrast, about 40 percent of the countries in Africa, Asia and the Pacific are currently in the stage of developing NUPs.

While the process of undertaking the feasibility phase could be different in each context, this guide provides key themes and principles that should be considered in the feasibility phase. It also provides a guidance on what to expect in the feasibility phase and some risk mitigation techniques, it suggests some activities to be done in the phase, the staffing requirements and a practical time frame to complete the entire phase.

It is advisable this guide is used in conjunction with other NUP guides and toolkits to ensure a comprehensive approach towards developing a NUP.

The structure of this guide is as follows: the first section has a brief introduction of urbanization trends and the role of NUP. Section two outlines the NUP process and its elements. Section three explores the feasibility phase in detail, its purpose, its function and its outputs. Section four explores the modality of the feasibility phase. Lastly, the guide provides lessons and direction on the successful completion of the feasibility phase.



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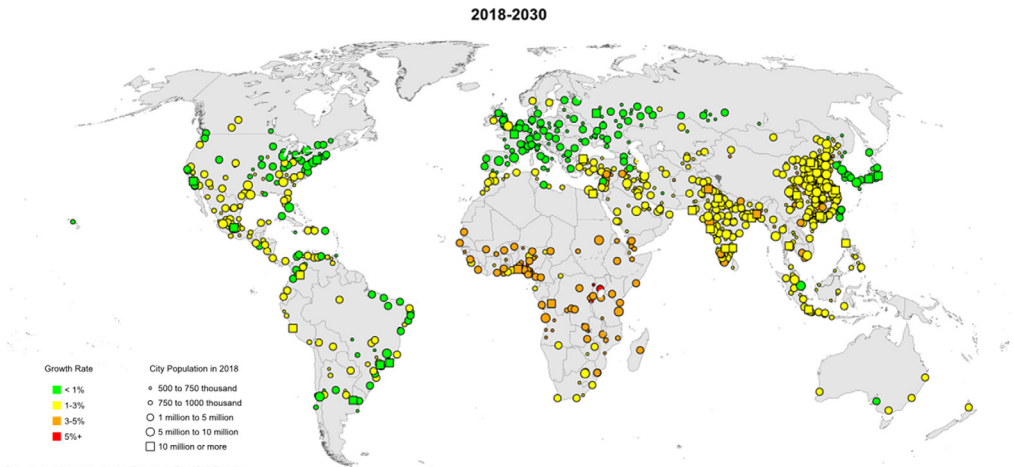
URBANIZATION TRENDS AND THE NEED FOR NATIONAL URBAN POLICY

1. URBANIZATION TRENDS AND THE NEED FOR A NATIONAL URBAN POLICY

More than half of the world's population currently lives in cities and a projected 70 per cent will be living in urban areas by 2050 (UN-Habitat, 2014). In 2016, Asia and Africa had the lowest rate of urbanization while urbanizing the most rapidly (UN-Habitat, 2016). Between 2016 and 2050, 90 per cent of the expected increase in the world's urban population will be in Africa and Asia.

Less than 5 per cent of the world's population lived in cities about a century ago but with the twentieth century came unprecedented rates of urbanization. Global urban growth rates averaged 2.6 per cent per year between 1950 and 2007, and in the same period, the world witnessed almost a five-fold growth in the world's urban population, from 700 million to 3.3 billion people.

Figure4. Projected growth of cities



Source: United Nations | World Urbanization Prospects: The 2018 Revision, Highlights

The current global trends of urbanization are significantly different from those previously experienced. Figure 4 shows the growth and

global spread of cities. According to the World Urbanization Prospects 2018 report, some of the following trends are to be expected:

Box1. World Urbanization Prospects 2018: Key Facts

- **Globally, more people** live in urban areas than in rural areas, with 55 per cent of the world's population residing in urban areas in 2018. In 1950, 30 per cent of the world's population was urban but 68 per cent of the world's population is projected to be urban by 2050.
- **Today, the most** urbanized regions include North America (82 per cent living in urban areas in 2018), Latin America and the Caribbean (81 per cent), and Europe (74 per cent) and Oceania (68 per cent). In contrast, Africa and Asia are mostly rural, with 43 and 50 per cent of their respective populations in urban areas. All regions are expected to urbanize further over the coming decades. Africa and Asia are urbanizing faster than the other regions and are projected to become 56 and 64 per cent urban, respectively, by 2050.
- **The rural population** of the world has grown slowly since 1950 and is expected to reach its peak in a few years. The global rural population is now close to 3.4 billion and is expected to decline to 3.1 billion by 2050. Africa and Asia are home to nearly 90 per cent of the world's rural population. India has the largest rural population (893 million), followed by China (578 million).
- **The urban population** of the world has grown rapidly since 1950, from 751 million to 4.2 billion in 2018. Asia, despite its lower level of urbanization, is home to 54 per cent of the world's urban population, followed by Europe and Africa (13% each).
- **Growth in the** urban population is driven by overall population increase and by the upward shift in the percentage living in urban areas. Together, these two factors are projected to add 2.5 billion to the world's urban population by 2050, with almost 90 percent of this growth happening in Asia and Africa.
- **Just three countries** - India, China and Nigeria - together are expected to account for 35 per cent of the projected growth of the world's urban population between 2018 and 2050. India is projected to add 416 million urban dwellers, China 255 million and Nigeria 189 million.
- **Close to half** of the world's urban dwellers reside in relatively small settlements of less than 500,000 inhabitants, while only around one in eight people live in the 33 mega-cities that have more than 10 million inhabitants. By 2030, the world is projected to have 43 megacities, most of them in developing regions.
- **Tokyo** is the world's largest city with 37 million inhabitants, followed by Delhi with 29 million, Shanghai with 26 million, and Mexico City, Mumbai and São Paulo, with around 22 million inhabitants each. Today, Cairo, Mumbai, Beijing and Dhaka all have close to 20 million inhabitants.
- **Some cities have** experienced population decline in recent years. Most of these are in the low-fertility countries of Asia and Europe where the overall population sizes are stagnant or declining. Economic contraction and natural disasters have contributed to population losses in some cities as well.

Source: World Urbanization Prospects: The 2018 Revision

As can be seen from Box 1, there is great diversity in the characteristics of the world's urban development; although several decades ago most of the world's largest urban agglomerations were in developed regions, today's large cities are concentrated in the global South where the framework and institutions guiding the urbanization process are relatively fragile. Rapid urbanization threatens sustainable development when urban policies are not formulated or implemented to ensure that the benefits of urbanization are equitably shared.

Levels of urbanization vary greatly across regions, which means urban policies need to be contextualized as there is no one-size-fits-all urban management. Despite the general theme of rapid urbanization in Asia and Africa, countries in these regions have different urban issues. Bucking the overall trend of rapid urbanization are some cities

with declining populations - a phenomenon a NUP can also positively exploit. These varying trends are changing the landscape of human settlement, with significant implications for living conditions, the environment and development in different parts of the world. These trends provide national governments with the opportunity to review their urban agenda and to forge a new model of urban development that integrates all facets of sustainable development, to promote equity, welfare and shared prosperity in an urbanizing world.

Realizing the potential gains of urbanization will depend on how well urban growth and its evolving challenges are managed. Formulating the necessary policies and ensuring the inclusion of principles of effective urban legislation, urban planning and design, and urban economy is vital to enable transformative urbanization.

Box2. 15 Reasons Why National Urban Policies (NUP) matter

1. *Is a development tool that helps address key development questions;*
2. *Is pro-people focused on increasing opportunities for all;*
3. *Can be used by the central government to provide guidance for a transforming society;*
4. *Defines a common vision for urbanization in a country;*
5. *Triggers harmonization and coordination of the urbanization process;*
6. *Can be the basis for national legislation related to emerging towns, cities and metropolitan areas;*
7. *Is a pro-active policy that has the potential to shape the good and desired patterns of urbanization;*
8. *Provides a framework for effective collaboration between national and subnational governments;*
9. *Supports the implementation of the New Urban Agenda (NUA) and Sustainable Development Goals (SDGs);*
10. *Provides an overarching coordinating framework to address urban challenges;*
11. *Strengthens the link between urbanization and socio-economic development and environmental sustainability;*
12. *Is better placed to provide an effective management framework to build the legal foundations, institutional capacities, administrative procedures and financial instruments for sustainable urbanization;*
13. *Can manage the peripheral expansion of cities in the interests of encouraging higher density and more integrated urban development;*
14. *Provides countries with the required framework to understand urban growth pressures and to take early action to prevent dysfunctional physical form;*
15. *Can involve programmes to strengthen the connectivity and cooperation between cities and towns.*

Source: UN-Habitat (2015) "15+ Reasons Why National Urban Policies Matter"



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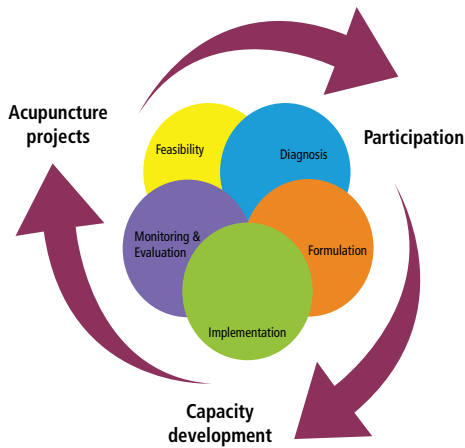
THE NATIONAL URBAN POLICY PROCESS

2. THE NATIONAL URBAN POLICY PROCESS

Based on country experiences, UN-Habitat can recommend key phases and aspects of a policy process that bring together elements that are essential for the successful development, implementation, monitoring and evaluation of a NUP. The process is flexible enough to be adapted to different country contexts as

the uniqueness of a country means that a NUP should be tailored to its specific needs. While UN-Habitat does not encourage a linear approach to NUP development, each phase of the NUP process is vital for a comprehensive NUP. These phases are not absolute and defined; in practice, their functions will overlap.

Figure5. National Urban Policy Guiding Framework

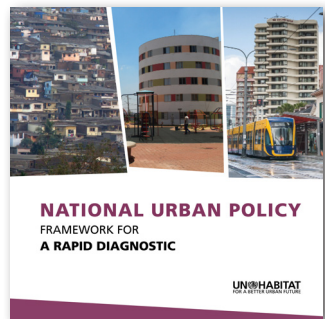


Source: UN-Habitat (2014) *National Urban Policy: A Guiding Framework*

2.1 Phases of a National Urban Policy

Feasibility Phase: This phase is essential for determining the viability of NUP while providing the framework and direction for its development and implementation. It is crucial for making sound decisions and setting directions.

Diagnosis Phase: This phase provides a detailed understanding of the local context, policy problems and opportunities, clarifies the policy goals and maps out key stakeholders. On the right is a guide through the diagnosis phase.



Formulation Phase: This phase allows for mapping of what will occur between the definition of the policy problem(s) and the attainment of the policy goal. It is a phase in which policy options and goals are evaluated.

Implementation Phase: During this phase, the policy proposal and plan completed during the formulation phase will be translated into actionable items. This phase also ensures that all stakeholders have the capacity (human, financial and institutional) to implement the policy as planned.

Monitoring and Evaluation Phase: This should not be regarded as the “last” phase in the NUP process. Monitoring should be undertaken throughout the implementation of the policy. The evaluation is an opportunity to review the gains made and evaluate any shortcomings. Lessons learned from an evaluation of outcomes and process can feedback into the policy cycle and promote an iterative policy design.

2.2 Key Pillars of a National Urban Policy

In addition to these phases, **there are three key pillars** guiding the NUP process: acupuncture projects, participation and capacity developments (UN-Habitat, 2015). Consideration of these three pillars should occur at every phase of the NUP process.

Participation: Integrating an engaging participatory process is necessary for the development of a successful, comprehensive and implementable NUP. A participatory policy process does not necessarily mean it is inclusive and to ensure it is inclusive, stakeholders should be identified and

mapped to ensure all groups – especially the most vulnerable – groups such as women, youth, the elderly and the disabled are sought out and included in participatory processes. In proposing participatory reforms, Nabatchi and Leighninger (2015) devised six key building blocks for successful public participation: disseminating information, gathering input and data, discussing and connecting, enabling small-scale decision making, enabling larger-scale decision making, and encouraging public work. In Peltz’s (2016) review of Nabatchi and Leighninger’s analysis, she noted that at the root of their theory is a realization that systemic support must complement a tactical readjustment from the ground-up in order curb institutional and resource maladaptation.

These systemic changes include incentives for a participatory approach, capacity development, adequate financial resources and reliable benchmarks that will enable people to take on new roles and connect different activities to one another. Participation and inclusion in the whole policy process will go a long way to identifying problems and challenges, and in the process, will propose innovative solutions.

To promote participation, UN-Habitat encourages each country to hold frequent national urban forums (NUFs) for continuous discussion and advancement of urban policies. To guide policy makers in developing effective urban forums, UN-Habitat developed a guide (pg.20) to provide structure to the national urban forum process.



among various stakeholders. NUF is a multi-stakeholder platform aimed at supporting sustainable urban development processes and debates at the country level, and feed national contributions to and participation in global development strategies. A NUF could include subnational and national consultations, workshops and other capacity building and advocacy activities. The frequency of a NUF is at the discretion of a national urban forum secretariat; forums should be established by a national government and managed by a steering committee composed of governmental and other stakeholders. This committee will provide a governance structure and administrative support and it is up to the committee members to decide who heads it.

NUFs have had excellent results in countries where they have been held, such as Barbados, Belarus, Cameroon, Chile and Egypt. They create an enabling environment for dialogue and consensus

Box3. Using a participatory process for changing mindsets in Liberia

Liberia is one of the countries where UN-Habitat and its partners, such as Cities Alliance, have deployed inclusive and participatory NUP processes which are changing the policymaking mindset and setting the framework for a transformative urbanization agenda.

Given Liberia's past and current challenges, UN-Habitat and its partners undertook to design and implement an inclusive policy process that would rally all forces to tackle together the country's challenges. Technical advisory services started in 2011 and, since then, UN-Habitat has gradually changed the attitude of the Liberian Government and raised awareness of the importance of a NUP. Indeed, the NUP process in Liberia encompasses all relevant stakeholders, including different government levels and sectors, civil society and professional organizations, the private sector and academia.

The NUP process is shifting from one in which the central government 'determines' the contents and process to one in which stakeholders take ownership and steer the process, define the content of the framework and map the outcomes. UN-Habitat's contribution to the change in urbanization processes lies in the tools and guidelines developed to support governments during the different phases of a NUP process. Some of these tools include the NUP framework and the NUF.

For the first time, a policy process is validated by the coalition of urban poor, the young professional, the national and subnational governments. Such a move towards inclusive policy making had not been witnessed before, especially considering the recent history of the country. So far, multiple stakeholders have jointly validated 10 policy focus areas and three overarching interventions.

Source: *UN-Habitat*

Acupuncture Projects: According to UN-Habitat's policy paper (2015), good practices of urban acupuncture, including those described as alternative urbanism, should be encouraged to foster participation and provide small but successful experiences shared with the local population. "Urban Acupuncture has been referred as 'pinpricks' of urbanism in the form of projects or initiatives" (UN-Habitat, 2015). These actions extend beyond their boundaries and ripple through cities and communities to affect that city or its policies (Lerner, 2014). According to Oritz (2013), acupuncture projects will be tangible projects that require governance efforts and coordination to be implemented, and they should be jointly worked on by integrating different skills and perspectives from various disciplines such as:

- A planning framework (a planner)
- An engineering feasible proposal (an engineer)
- A cost-benefit analysis of an economic/financial proposal (an economist/financier)
- A procedural, institutional framework, public and private for implementation

The feasibility phase is an opportunity for policy makers to identify small, demonstrative projects that consider both the living standards of people and the environments they live in. These projects can demonstrate the importance of acupuncture projects, which can be an effective solution for city revitalization, especially megacities, without fundamentally interfering with the overall layout of the city.

Box4. Public space implementation in Bamenda

Bamenda, the third largest city in Cameroon, is the capital of the north-west region and is strategically located on the cross route that links Cameroon with cities in Nigeria such as Enugu and Calabar. The current population is 500,000 but this is expected to rise to about 2.1 million by 2026. The city is well known for its market places, which are the key drivers for its economic development and job creation. According to the World Health Organization, Bamenda is the most polluted city in Africa in terms of particulate matter (PM 2.5) and, due to its hilly terrain and abundant rainfall, the city is threatened by flooding. In 2017, UN-Habitat and the Bamenda City Council conducted a city-wide inventory and assessment of all open public spaces, with a special focus on markets. In addition to the normal assessment parameters, the Bamenda assessment also emphasized resilience – assessing the risk of markets being exposed to environmental challenges such as flooding. The results of the survey highlighted gaps in public space and market distribution as well as their quality, inclusivity, safety and accessibility, and how they can be used to promote sustainability. Seven per cent of Bamenda's open land is public space – well below UN-Habitat's recommendation of 15-20 per cent. This participatory process established key recommendations to meet the current challenges faced by the city's markets. It also informed the way forward for the renovation and modernization of markets to meet citizens' needs and social changes. A city-wide open public space strategy has been drafted based on the results of the assessment, with two pilot projects currently being implemented. This project was highlighted because it was linked to the NUP process and public space was identified as a priority area during the consultative process.

Source: *UN-Habitat*

Capacity development: Capacity development is another pillar of the NUP process. The OECD (2006) defines it as the process by which individuals, groups and organizations, institutions and countries develop, enhance and organize their systems, resources and knowledge; this is reflected in their abilities, individually and collectively, to perform functions, solve problems and achieve objectives.

It starts from the principle that people are best empowered to realize their full potential when the means of development are sustainable (UNDP, 2008). Through understanding the obstacles that inhibit people, organizations and government, it is possible to ensure with more certainty that

a NUP can be successfully developed and implemented.

The capacity of institutions and individuals is central to the success of any urban policy, and capacity development and institutional development strategies should form an integral part of urban policies at all levels of government.

Tailored training programmes and workshops can strengthen cities' and municipalities' ability to manage urban development with relevant data, knowledge and tools. To be effective, capacity development needs to be closely linked with urban development objectives and funding must be set aside to ensure continuity and a prolonged impact.



3 THE FEASIBILITY PHASE

3. THE FEASIBILITY PHASE

The feasibility phase determines the viability of a NUP while providing the framework and direction for its development and delivery. It is a crucial phase for making sound decisions and setting directions. It:

- Focuses on research, analysis, facts gathering and dissemination;
- Helps to map and consult all relevant stakeholders;
- Focuses on analysing, clarifying and resolving key issues and areas of concern or uncertainty;
- Very often involves analysing alternative concepts and approaches;
- Understands the local political economy of urbanization;
- Provides a plan or strategy intended to achieve the goals of urban sustainability (roadmap);
- and identifies and prioritizes risks to maximize the realization of opportunities.

The feasibility phase of the NUP process is crucial to the successful development, implementation and monitoring of a NUP. It analyses the viability of NUP in a particular country context, as no two nations are the same, and their differences and uniqueness cannot be ignored. The feasibility phase also highlights the opportunities for change which can then be used to build consensus around the vision for NUP for sustainable urbanization. The feasibility phase is primarily undertaken to build consensus for a NUP by identifying the national government's key role. Many countries have national or subnational urban agencies dedicated to sustainable urban development that are not developing

a national policy or policy statements directed at comprehensive development. Some countries have national and regional government departments that have directed urban growth and development in the absence of an explicit NUP. During the feasibility stage, problems and obstacles for a NUP development can also be identified. For example, some developed countries do not have an explicit NUP and the highly federalized nature of some countries' political systems has meant that a comprehensive national policy faces challenges. In a federal context, the feasibility stage involves assessing the relationships between federal and regional jurisdictions and the ways in which consensus can be forged in early policy stages.

The promotion and advocacy for a NUP in the feasibility stage can arise from different quarters and from stakeholders both within government and outside of it. Stakeholder engagement between the national and subnational governments, private institutions and inter-governmental organizations - and any other relevant stakeholders - is therefore critical in the feasibility stage.

• Functions of the feasibility phase

This guide highlights nine priority functions of the feasibility phase:

1. Building national consensus;
2. Defining the rationale for a NUP in a country context and identifying constraints;
3. Defining the role of national governments;
4. Defining the role of the mass media;

5. Defining the role of subnational governments;
6. Engaging academic and research institutions;
7. Defining the role of other stakeholders;
8. Developing a roadmap (strategy or plan); and
9. Developing a risk mitigation strategy.

- Improve the management of urban systems.

As urban trends evolve, so too must urban policies. Cities face complex challenges that cannot be solved by sectorial policies (Turok and Parnell 2009). Furthermore, evidence suggests that urban policies should evolve from ministerial sectioning towards a more comprehensive and integrative approach that requires backing from all stakeholders involved. The success of a NUP depends heavily on a multi-stakeholder engagement that enables development partners and subnational government stakeholders to work together to ensure a comprehensive and transformative NUP that can achieve the urban goals and vision set out for the country. Subnational governments are particularly crucial partners for a fruitful and implementable NUP. They know their constituencies and are often best placed to manage urban development and the implementation of policies locally because of their experiential knowledge.

3.1. Building national consensus

All tiers of government should work to build a national consensus that places a NUP at the heart of national development. The national government should resist a top down approach towards urban policy making and should rather encourage a bottom-up approach which is framed by local needs, priorities and expectations. A core part of the NUP process is extensive stakeholder engagement.

STAKEHOLDER ENGAGEMENT

A participatory NUP is a long-term, continuous process which should ultimately provide an integrated institutional framework, creating an enabling environment for the establishment, institutionalization and improvement of a country's urban development outcomes.

Stakeholders involved in the process are diverse and have important roles to play in every phase of a NUP, including to:

- Design and frame policies;
- Endorse and own urban policies;
- Implement urban policies;
- Monitor and evaluate urban policies; and

To ensure the successful implementation and sustainability of a NUP, UN-Habitat proposes tools (feasibility studies, policy notes, communication strategies and discussion papers) that foster commitment and involvement from subnational and national policy makers, funding agencies, the private sector and other stakeholders at all stages of the process. Every single person of every age, status or gender should be recognized as having a stake in the NUP process. We can only change our cities through policies that work. There are a variety of stakeholders involved in the NUP process with differing interests and levels of leverage and it is imperative that inputs from these different stakeholders are considered from the beginning of the policy process. The integration of all rele-

vant stakeholders is one of the most important components of the entire NUP process. Their engagement determines the final goals of the policy.

Awareness raising and communication strategies

In addition to including all relevant stakeholders in the process, awareness campaigns are a good way to build grassroots support for a NUP; such a campaign should focus on the message that NUPs are relevant to every individual all over the country. NUPs cover issues that are directly relevant to peoples' daily lives, including challenges such as urban poverty, climate change, gender inequality and basic urban service provision. Awareness campaigns should ideally make NUPs engaging and relevant to the local context. Activities could include collaborating with well-known figures (sportspeople, actors, musicians) on promotions, and should include cross-cutting perspectives (human rights, gender, youth and climate change) to ensure inclusivity. Awareness raising is not only about informing people about the existence of a NUP, it is also about empowering them to participate in its implementation.

Advocacy

National governments have the important task of facilitating the participation of sub-national governments in the development of urban policies so that they reflect and respond to local circumstances, needs and priorities. The feasibility phase is an opportunity for the central government to build an effective relationship with the regional governments and citizens, and to provide an opportunity for wholesale adoption and implementation.

Example of stakeholder groups

- **General public:** This group consists of those who are directly or indirectly affected by a NUP.
- **National government:** This includes government departments and institutions mandated to make decisions on issues of national interest.
- **Representative gatherings:** These elected government bodies (e.g. congress, parliament) represent the concerns of their constituents at a national level.
- **Subnational governments:** Decisions taken by this group greatly affect the present and future of individual communities. Subnational governments play the main role in linking popular participation, legitimacy and democratic government.
- **Private sector:** The private sector plays an important role through funding research.
- **Development partners** (United Nations agencies, World Bank, International Monetary Fund, non-government organizations, etc.): This includes international financial institutions and NGOs who have a role in raising funds and funding the implementation of policies in countries.
- **Thinktanks:** This group can help ensure policy decisions are based on the most up to date information. They help innovation in policy by bringing a range of valuable external viewpoints and fresh perspectives.

- **Civil society organizations:** Civil society groups play a key role in pushing for innovative policies and holding governments accountable for their commitments and responsibilities.

Box5. Principles of a National Urban Policy

- **Forward thinking:** A forward thinking policy should have clearly defined goals and roles for stakeholders
- **Implementable:** During all phases of the NUP process, it must be ensured that the policy being formulated is implementable
- **Joined up and inclusive:** A NUP should recognize the need to be “joined-up” and inclusive and therefore look beyond traditional institutional boundaries to address the challenges and opportunities of urbanization
- **Evidence based:** All decisions associated with the NUP process should be based on relevant and current evidence to ensure decisions are relevant and well-informed
- **Action oriented:** A sustainable NUP should be operational. It is imperative that clear actions are delineated during the formulation and implementation phases so that goals are translated into actionable activities that can be monitored and evaluated.

All NUPs should be built with these key principles in mind. Incorporating these principles into the NUP process will augment the ability of the policy to respond to the challenges and opportunities presented by urbanization.

Source: UN-Habitat (2016) National Urban Policy: A guiding framework

3.2. Defining the rationale for a NUP in a country context

One of the most important elements of the feasibility phase is to define the rationale for a NUP. A NUP is a key tool for managing urban growth and for the implementation of policy actions and strategies in pursuing sound urban objectives. Cities and human settlements must cope with the negative effects of urbanization (urban sprawl and spatial disparities, crime, congestion and pollution), but they also have to propose proactive ways to improve, sustain and foster agglomeration economies.



Singapore at night © luxuo.com

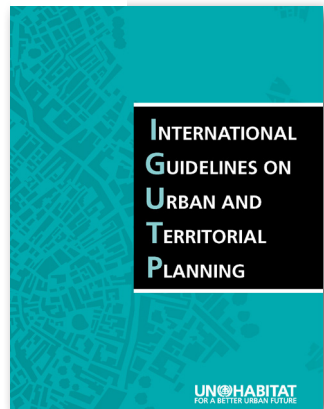
Having a NUP that addresses key issues such as urban infrastructure and land regulations as long-term bases for sustainable urbanization is also increasingly important so that cities can maintain their competitiveness. Yet, in a context of increasing pressure on fiscal/ financial capacities, governments must constantly “perform better with less”. So, it is more important than ever to “make the case” for a NUP and to communicate to all stakeholders the added value of developing and implementing a NUP. Providing more efficient and effective public services, making economies of scale and dealing with urban inequality are challenges in urban areas and these are core issues that a NUP addresses (OECD, 2010). In the feasibility phase, important concepts in a NUP are brought to light (e.g. promoting socially inclusive cities, emphasizing climate change and encouraging linkages between urban and rural areas).

- **SOCIOECONOMIC INCLUSIVE CITIES**

Everyone, regardless of their economic status, gender, race, ethnicity or religion, should be empowered to fully participate in the social, economic and political opportunities that urbanization has to offer through a NUP. Socially inclusive cities are characterized by three factors (World Bank, 2015).

- **Spatial Inclusion:** People and places need to be at the centre of a NUP that accelerates the development of social and economic components. This means providing affordable amenities such as housing, water and sanitation. Spatial inclusion also implies the need to understand income and poverty disparities in a country. To promote spatial inclusion, UN-

Habitat developed the International Guidelines on Urban and Territorial Planning as a source of inspiration and as a compass for decision makers and urban professionals when reviewing urban and territorial planning systems.



- **Social Inclusion:** Social inclusion is central to eradicating poverty, although poverty alone does not mean deprivation. Race, ethnicity, gender, religion, residence location, disability status, age, HIV/AIDS status and sexual orientation also confer disadvantages that exclude people from a range of opportunities (World Bank, 2015). A NUP unravels this by promoting inclusive cities that guarantee equal rights and participation for all. Evidence suggests that adopting an intersectionality perspective in the feasibility, diagnosis, formulation, implementation, monitoring and evaluation of urban policies is one way to address inequalities in cities and in urban policy making.
- **Economic Inclusion:** Public and private efforts aimed at bringing underserved consumers into the

Box6. City Prosperity Initiative (CPI)

UN-Habitat's City Prosperity Initiative (CPI) is both a metric and a policy dialogue that offers decision-makers the information to formulate adequate policies based on good data, information and knowledge. The CPI is a global, innovative approach to urban measurements and it is meant to identify opportunities and potential areas of intervention for cities to become more prosperous.

The CPI collects a critical mass of information (data, indices and urban indicators) and transforms them into strategic knowledge, which serves as the basis for the formulation of urban evidence-based policies, city-visions, and long-term action plans. The objective is to produce meaningful information at the city level, to define a limited number of actions based on its diagnosis and to measure the extent to which policies affect the prosperity of the city, at the same time strengthening the monitoring and reporting capacities of the municipal entities.

The CPI enhances monitoring capacities and increases the prospects of higher accountability in the implementation of the 2030 Development Agenda as well of the New Urban Agenda. Countries that use the CPI will be able to identify, quantify, evaluate, monitor and report on progress on these agendas, avoiding duplication and systematizing the monitoring and reporting process.

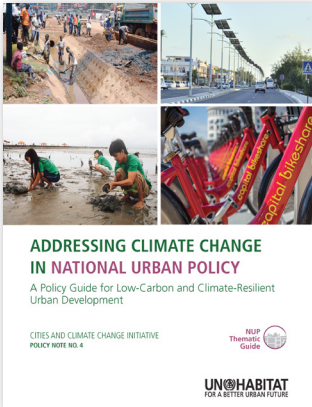
Source: <http://cpi.unhabitat.org/>

financial mainstream is central to wholesale growth. To foster prosperity in cities, UN-Habitat developed the City Prosperity Initiative (CPI).

- **ENVIRONMENTAL MAINSTREAMING**

It is a key guiding principle of a NUP that urban inhabitants have the right to the sustainable environmental development of their communities. Because climate change is a key component of the environmental challenge, a NUP should recognize its importance and promote adaptation to climate change and processes to mitigate its potential effects. Climate change has been and will continue to be a challenge for environmental sustainability, the structure of economies, patterns of settlements, livelihoods and employment (UN-Habitat, 2016). Urban settlements are the communities most vulnerable to the impact of climate change.

The new generation of NUPs can play a critical role in addressing these issues by supporting the implementation of local climate change actions. The severity of climate change impact in the context of urban policies cannot be fully known without the feasibility stage. Actors, both at the national and subnational levels, with a role in climate-related actions are encouraged to participate in the feasibility phase (UN-Habitat, 2016). The publication on pg.30 is a guide for policy makers to effectively mainstream climate issues into a NUP.



• **INTERDEPENDENCE OF URBAN AND RURAL AREAS**

For the greater part of their existence, rural areas have been neglected in the dialogue on urban development and this has, in turn, been detrimental to their growth. NUPs offer a framework for the development of rural areas through strengthening urban-rural linkages.

One of the primary reasons for a NUP also stems from evidence that urbanization can accelerate progress towards the Sustainable Development Goals (SDGs). To summarize, a NUP provides a stable framework for coordinating and rallying various actors towards a common vision and goal that will promote a more transformative, productive, inclusive and resilient urban development for the long term.

UN-Habitat, with a host of international partners, is currently developing a set of globally applicable guiding principles for urban-rural linkages, and many thematic entry points and pathways for their implementation. The guide shown (top right) developed by UN-Habitat provides an analysis of the economic, social and

environmental link between urban and rural areas.

3.3. Defining the role of the national governments at the feasibility phase

It is the feasibility phase that firmly establishes the role of the national government in the NUP process and the scope of its involvement. In many developing countries, especially in Africa and Asia, there is an ambiguity about the importance of urbanization and urban policies.

National governments play a significant role in ensuring national legislation and documents are committed to the basic principles of social and environmental justice and acknowledge the importance of rights to access urban opportunities (UN-Habitat, 2009). Asking the right questions and creating the right political atmosphere for informed national discussions and debates at the feasibility stage is the responsibility of the national government. Evidence shows that national governments have a major role in obtaining and analysing a broad overview of the urban issues situation in a country (Turok, 2009).

Creating the right legislative environment

In many parts of the world, the existing national planning legislation is outdated and is still strongly influenced by colonial planning practices (UN-Habitat, 2009). Cities have evolved significantly but planning legislation has not. To have an effective NUP, the legislation on planning should be updated to meet current needs.

Establishment of a steering committee/secretariat for urban development

The feasibility phase could explore the selection/creation of an agency solely responsible for policy direction, national standards and coordination of all issues related to public amenities, lands, housing and urban development that could foster orderly urban development in the country.

3.4. Defining the role of the mass media

The mass media can play a critical role in urban policymaking and is an important element throughout the policy process as media can set an agenda which is then adopted and dealt with by policymakers and other stakeholders. The feasibility phase entrenches a role for the mass media to draw and sustain public attention to urban issues, and it can change the discourse around urban policy by framing or defining an issue to persuade or dissuade the public. The mass media can establish the nature, sources and consequences of urban policy issues in ways that fundamentally change not just the attention paid to those issues, but the different types of policy solutions sought. The media can draw attention to the players involved in the urban policy process and can aid their cause by highlighting their role in urban policymaking. The development

of a NUP is a complex process; the media can act as a critical conduit between the government and the public, informing people about government actions and processes, and helping to convey public attitudes to government officials.

3.5. Defining the role of subnational governments

When it comes to creating an effective NUP, the national government and other stakeholders are only as effective as the subnational governments. It is, therefore, important to ensure that subnational governments have the political backing, necessary tools and sufficient financial resources to make a sustainable NUP a reality. The responsibilities of subnational governments are growing in relation to the wave of decentralization occurring globally and more subnational governments are tasked with providing public services and infrastructure and administering taxes. Partnering with subnational governments is a major way of providing an encompassing, democratic and accountable method for identifying urban needs.

Subnational governments have a unique role in promoting urban policies that are asserted by the local electorate and so must be involved in reaping the benefits of a NUP for their local communities. The successful implementation of NUPs depends more than ever on the ability of subnational governments to promote wholesale, inclusive and sustainable urban development. Effective subnational governance can ensure the inclusion of a diversity of local stakeholders who would have been missed at the national level, thereby creating broad-based ownership, commitment and transparency.

Box7. Elements for effective national, subnational government partnerships

- Clear objective: A clearly stated objective agreed on by both levels of government is crucial to the success of the partnership.
- Clear definition of responsibilities: Contractual relationships between the key role players need to be established, with the roles, responsibilities and authority of both parties clearly outlined. Tasks need to be identified and allocated.
- Institutional structure: The appropriate institutional structure for the partnership must be considered. To ensure efficiency, the bottlenecks that come with government institutions need to be minimized.
- Vision: Having a shared vision of the ultimate goals of an urban policy is very important.
- Flexible: This relationship must be flexible with regard to problem solving to overcome any bureaucratic obstacles.
- Evaluation: Milestones should be established to track progress in the urban sphere.
- Communication: Ongoing and prompt communication between both levels of government is essential.
- Accountability: Both parties need to be accountable to each other.
- Mandate: Regarding a NUP, the partnership needs a public mandate. This needs to specify both processes, outcomes and targets.
- Sustainability: Urban policy development must have access to finance in a manner that ensures the entire process is sustained.

Source: *UN-Habitat*

3.6. Engaging academic and research institutions

There should be an established need for improved research knowledge and the understanding of the ever-changing face of urbanization.

The feasibility phase provides the ideal moment to identify research needs and gaps. Research by universities and thinktanks should be fully supported by the central government in order to scrutinize urban systems and improve decision making. The improved knowledge will

lead to refined planning systems which will benefit everyone. Increased knowledge about urban development processes locally, nationally and internationally could also stimulate more informed debates about the appropriate strategic direction and content of urban policy, and recognition of the complex dilemmas faced by decision-makers in harnessing the potential of cities.

Research institutions can be one of society's foremost contributors to achieving sustainability. They are a neutral and trusted stakeholder and have a key role in educating

the public and other sectors on a NUP. Through their extensive research capabilities and activities, they are critical for providing the necessary knowledge, evidence-based solutions and innovations to underpin and support the objectives of a NUP. The feasibility phase is a unique opportunity for research institutions to demonstrate their willingness and capacity to play an active and meaningful role in the development of their respective cities and to contribute to achieving the SDGs and NUA through a NUP.

How to incorporate the role of research institutions

- Promote student volunteering activities that address urban development;
- Incorporate NUP in curriculums;
- Organise summer schools on urban policies;
- Structure courses around real, collaborative urban transformative initiatives;
- Develop exchange relationships with research institutions in developing and developed countries that provide training programmes to address sustainable cities;
- Advocate for national support and coordination of research on NUPs; and
- Support and incubate innovation for sustainable cities.

3.7. Defining the role of other stakeholders

Aside from government entities, there are other stakeholders (civil society, private sector, development partners and the public) who should be consulted. The needs of these groups vary and should be analysed in detail through a stakeholder analysis.

A participatory process towards policy development takes longer and costs more than policy development carried out by government agencies alone, but the long-term benefits are significant. The improvement in the lives of these stakeholders will determine the success or failure of national urban policies and policy makers do not have all the resources and knowledge required for the effective planning and implementation of urban policies. Parties other than governments have obstructive power; that is, they can obstruct or even block a decision or the implementation of urban policies. Extensive and early involvement of stakeholders reduces the risk of a NUP not being accepted, understood and endorsed.

3.8. Developing a roadmap

A roadmap aims to support contextual urban policies and strategies of national and subnational governments towards becoming “sustainable”. In this context, a roadmap is a strategic plan that outlines activities the government and key stakeholders can undertake over specified periods to achieve an inclusive and participatory NUP. The creation of a common roadmap for urban transformation and economic development that is supported by all stakeholders helps to generate consensus on common longer-term objectives.

3.9. Developing a risk mitigation strategy

A risk mitigation strategy developed during the feasibility phase can provide the framework for the management and control of risk. This phase will be useful in adopting best practices in the identification, evaluation and cost-effective control of risks

Table1. Positive effects of participatory approaches

Category	Potential effects
Substantive effects	<ul style="list-style-type: none"> • More pertinent choices from the socio-economic and environmental point of view • Common understanding of issues, positions and arguments • New options for action, more robust solutions, better identification of sustainable, longer-term approaches • More socially acceptable choices, agreements or tolerated consensus
Procedural effects	<ul style="list-style-type: none"> • Improvement of the quality of the informational basis of decision processes and better use of information • Increased pool of ideas and creativity • More dynamic processes • More transparent decision making • Early identification of conflict and better management of resolutions • Increased legitimacy of the decision process • Improvement of the effectiveness of the process in terms of costs and time • Empowerment and enhanced influence of less-organized interests
11.3.2 Contextual effects	<ul style="list-style-type: none"> • Better information to stakeholders and/or the public • Increased public awareness and interest • Better preparation for future situations in which stakeholders may need to take particular actions • Improved strategic capacity of decision makers • Public acceptance, ownership, support for decisions • Social learning, constructive dialogue between the authorities and the public • Strengthened co-operation, communication and co-ordination between institutions and with stakeholders • Reinforcement of democratic practices and citizens' involvement in public domains • Increased confidence in citizens' problem-solving capacity, in institutional players and in institutional arrangements

Source: Adapted from OECD, 2015; UNECE, 2014b; Laes and Meskens, 2006; van den Hove, 2003; Renn and Schweizer, 2009; and NEA, 2010b

in the policy development process to ensure that they are either eliminated or reduced to an acceptable level.

Risk management is the process of identifying significant risks to the achievement of the NUP process, evaluating their potential consequences and implementing the most effective way of controlling them.

An ideal risk mitigation strategy for NUP will:

- Incorporate risk management into the NUPs;
- Manage risk in accordance with global best practices;
- Extensively consider legal and regulatory compliance;
- Anticipate and respond effectively to legislative, environmental and operational change; and
- Reduce the cost of risk.



4 MODALITIES OF THE FEASIBILITY PHASE

4. MODALITIES OF THE FEASIBILITY PHASE

As stated above, the primary function of the feasibility phase is to assess the viability of a NUP in a country context by guiding policy makers to collect and analyse urban data, identify potential governance and economic constraints, assess future urban development options, prepare strategies and plans, and prioritize projects to support sustainable urban development.

The feasibility phase could involve the following assessments:

Country Profile

A country profile is a concise review of the situation in a specific country context, with background statistics on urban-related issues. The profile should include the geographical location and an overview of the political history and governance systems. It should have an economic profile giving economic indicators, data and statistics, as well as analyses of the country's history, gross domestic product (GDP), GDP growth, GDP per capita, distribution as a percentage share of GDP by sector, economic prospects, sectors, international trading relations, imports and exports. A social analysis should also be conducted to understand the macro social processes and how social, political, and cultural factors influence the opportunities and constraints to equitable urban development.

Additionally, there should be an extensive environmental analysis, which is an important tool for the identification of the core environmental issues to be considered during the development of a NUP.

Urban Profile

An urban profile consists of an accelerated, action-oriented assessment of urban conditions, focusing on priority needs, capacity gaps and existing institutional responses at subnational and national levels. The urban profile should also provide information on urban trends which can guide urban policies and identify urban needs. Ideally, an urban profile should have an urban governance analysis of the institutional frameworks involved in urban management and the interlinkages between the three tiers of governance (national, subnational and local) for overlapping roles and mandates in the functional areas of responsibilities of urban development. There should also be an urban finance assessment giving details of municipal finance and an analysis of the various revenue streams available in a specific country for funding urban development.

Capacity Gap Assessment

This profile should evaluate the capacity of policy makers and other key stakeholders to guide urban development effectively. It should scan capacity development institutions to assess their scope and strength to cope with national and regional capacity training/skills development needs.

The table below shows the various activities of the feasibility phase, the staffing requirements and the timeframe needed for a successful phase. Ideally, the feasibility phase should take between two and 12 months, depending on the context.

Table2. Activities of the feasibility phase

Suggested Activities	Details	Suggested Staffing Requirement	Suggested Time Frame
Preparing a Feasibility Study	This examines the actors, events and environmental involved in all stages of the NUP process	One national/ international expert	1-2 months
NUP Policy Note	Highlights the rationale and benefits of developing and implementing a NUP.	One national/ international expert	1-2 months
National Urban Forum Consultative Workshop	A NUF can be a platform to promote dialogue and consensus among stakeholders, including national and subnational government, local authorities, grassroots organizations, private sector and academia.	Two international experts National officers (for knowledge building)	Preparation, implementation, and post-workshop follow-up time: 2 -3 months Forum: 1-3 days
Communication and Outreach Strategy	Having a strategy for communication and outreach will ensure that the necessary information is communicated clearly and consistently through the NUP process.	One national/ international expert	1-3 months
National NUF and NUP Awareness Campaign	Organization of national, subnational and local urban campaigns can work to promote the NUF and NUP processes.	One national expert	Preparation, implementation, and post-campaign follow-up time: 2 -3 months (can happen in parallel with NUF preparations). Campaign: 1-2 months.
NUF Report and NUP Statement of Intent	Collection of outcomes from the NUF into a report including a NUP Statement of intent, to begin the NUP development process.	National expert if available	2-4 weeks

Source: UN-Habitat (2018) National Urban Policy Menu of Services

• Outputs of the feasibility phase

The importance of the feasibility phase is encompassed in producing the following:

1. National urban policy note
2. Communication strategy
3. Discussion paper
4. Feasibility study
5. Political economic analysis (PEA)

4.1. National Urban Policy Note

A policy note is vital to gain support for a NUP. It is aimed at all levels of government, policymakers and others who are interested in formulating or influencing urban policies.

Policy notes are intended to identify challenges, interests and priorities in a specific country as well as the need for developing a NUP based on recommendations in accordance with the NUA and country priorities. There are policy notes being done on Cameroon and Rwanda which set the scene for a comprehensive NUP for both countries. Without a policy note, the extent

of urbanization in a specific country will not be understood and this could lead to wrong policy choices being made.

What should a policy note achieve?

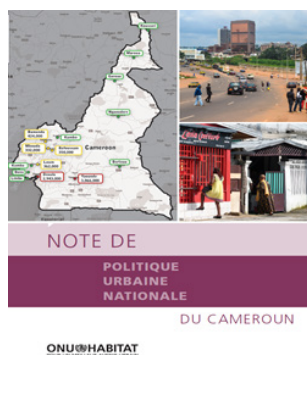
It should:

- Provide enough background for the reader to understand the problems and opportunities;
- Convince the policy maker that the problem must be addressed urgently;
- Provide information about solutions;
- Stimulate the reader to understand why a NUP is needed;
- Address key questions on the justification for a NUP.

Structure of a policy note

A policy note should be structured in a way that is attractive, appealing and easy to read. It should be succinct and ideally be between 10 and 15 pages long. The recommended approach is that of Cameroon.

Figure6. Policy Note for Cameroon



EXECUTIVE SUMMARY

1. STATE OF URBAN AREAS: FACTS AND FIGURES

- 1.1. Background
- 1.2. The situation of cities and the urban framework
- 1.3. History of urban planning
- 1.4. The tools of urban planning
- 1.5. Analysis of the urban sector

2. THE PRINCIPLES AND GUIDELINES OF A NUP

3. CONCLUSION: 10 REASONS FOR A NATIONAL URBAN POLICY

4.2. Communication Strategy

Another output of the feasibility phase is a communication strategy that will:

- Effectively define the means to communicate the need for a NUP;
- Identify timely and strategic outreach opportunities moving forward;
- Promote different tools to raise much needed awareness about NUP; and
- Provide a basis for an effective relationship with the media.
- A communication strategy should not be an afterthought of a NUP; instead, it should be a fundamental and integral part of the entire process.
- Having a communication strategy defines how to capture the attention of the target audiences and convey a compelling message about NUP.

An effective communication strategy can:

- Provide accurate information for the public about a NUP and how people can actively contribute, thus establishing a broader and stronger support for potential government policies;
- Strengthen partnerships between governments and all stakeholders;
- Enhance the government's accountability and credibility which is needed in a process as comprehensive as a NUP;
- Ensure effective two-way communication between the project team and stakeholders while making sure responsibilities are shared and resources are efficiently allocated;

Main steps in developing a communications strategy

1. Define the objective;
2. Determine the target audience;

3. Map effective communication channels, techniques and tools;
4. Set and monitor time-lines and milestones; and Formulate a communication strategy document.

Goals of a communication strategy

Any communication plan needs to be goal-driven. A NUP needs to be adequately communicated to ensure it is understood in its entirety. A communication plan is an essential component of a NUP as it has the entirety of the policy message compressed in a way that a specific target audience should understand. Some of the goals include:

- Spreading the key intentions and messages of a NUP;
- Rallying support from all relevant stakeholders;
- Targeting the audience more accurately. A communication strategy gives structure as to who to target and how to go about it;
- Clarifying and countering arguments, challenges or misrepresentations from those opposed to a NUP;
- Educating the public on issues concerning a NUP;

4.3. Discussion Paper

Discussion papers can be an effective tool in the expansion of knowledge on a NUP in a specific country. They can target policy makers as they contain a detailed qualitative/quantitative depiction of NUP.

A discussion paper may reflect differing perspectives, but should provide balanced and fact-based information on a NUP. It should also highlight general findings and identify research needs on urban development.

The challenges for cities will include not only planning for urban growth but also preparing for and responding to climate change and economic competition, and for maintaining the health, vibrancy and wellbeing of the population. All these should be included in a discussion paper to elicit comments and solutions for urban policies.

Discussion papers should be written in a way that is comprehensible by every target stakeholder. It is also important that it is based on accurate and relevant data. Below is an example of a discussion paper done in Liberia.

Figure7. Discussion Paper on Liberia

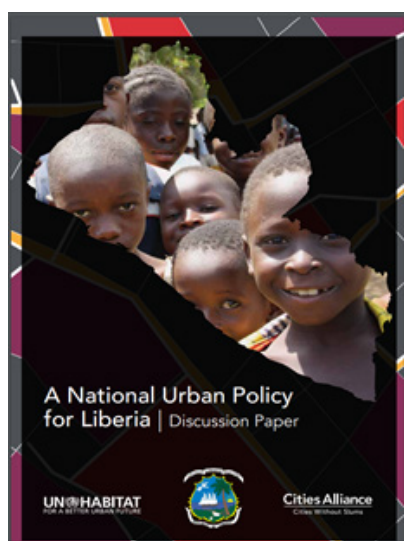


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Below is the table of content of Zambia's NUP discussion paper

Box8. Table of contents of Zambia's NUP discussion paper

EXECUTIVE SUMMARY

1. Urbanisation in Zambia: Situation Analysis

- 1.1. Historical Drivers of Urbanisation
- 1.2. Contemporary Demographic Patterns
- 1.3. Challenges Faced
- 1.4. Transforming Challenges into Opportunities: Highlighting the Need for a National Urban Policy (NUP) for Zambia
- 1.5. Existing Strategic and Regulatory Instruments

2. Lessons Learned from International Experiences on NUP formulation

- 2.1. The need to devise spatially-wise urbanisation policies
- 2.2. Some of the key NUP themes derived from international experience

3. Proposed Way Forward for Developing a NUP for Zambia

- 3.1. Proposed NUP Objectives
- 3.2. Identification of Key Guiding Principles
- 3.3. Possible NUP outline and main contents
- 3.4. Proposed methodology and institutional set up
- 3.5. Risk analysis
- 3.6. Implementation plan
- 3.7. Budget

4. Issues and Policy Priorities for Discussion

4.4. Feasibility Study

A feasibility study is a critical component of policy formulation and is a technical working document for policy appraisal. A NUP, regardless of its scale and nature, can have long-term implications with a great deal at stake once it is implemented.

A feasibility study, therefore, needs to be authentic, accurate and thorough. The feasibility study makes the case for a NUP, outlining a possible vision and content of the NUP.

Below is the table of content of the feasibility study done in Afghanistan.

Box9. Table of contents of Afghanistan's Feasibility Study

EXECUTIVE SUMMARY

1. INTRODUCTION

- 1.1 Purpose of this Feasibility Note
- 1.2 Structure and methodology of the Note

2. SETTING THE SCENE: KEY CONSIDERATIONS FOR A NATIONAL URBAN POLICY

- 2.1 What is a national urban policy and why is it needed for Afghanistan?
- 2.2 Desired deliverable outcomes of a national urban policy?
- 2.3 Challenges and key factors to be considered for the national urban policy?

3. MAYOR URBAN ISSUES AND TRENDS IN AFGHANISTAN

- 3.1 Vibrant and habitable cities
- 3.2 Connectivity within and between cities
- 3.3 Sustainable city regions and urban-rural linkages
- 3.4 Urban governance, planning and management

4. DEVELOPING AND MAINTAINING MOMENTUM FOR THE POLICY

5. TOWARDS A VISION FOR URBAN DEVELOPMENT IN AFGHANISTAN

Annexes

- i. Structure and content of the afghan national urban policy
- ii. The way forward: diagnosis and formulation of the policy
- iii. References
- iv. Afghanistan's 34 provincial capital city typologies
- v. overview of key urban institutions and mandates (soac 2015, pp 28-29)
- vi. First draft for the terms of reference of a national consultant

It will inform the dialogue between the government and stakeholders, and will lead to the validation of the vision of the NUP.

A typical feasibility study will:

- Ensure that the urban policy developed is in accordance with predetermined needs and is the most suitable technical solution to such needs;
- Provide information about costs (explicit and hidden) and give an indication whether these costs can be met;
- Consider the economic rationale for the project; and
- Allow for the identification, quantification, mitigation and allocation of risks associated with the policy implementation.

4.5. Political economic analysis (PEA)

A political economic analysis (PEA) investigates how political, economic and social processes interact in a given society, and whether they will support or impede the ability to deal with development problems that require collective action.

A PEA is primarily concerned with identifying obstacles and constraints to political

process, but it can also be used to identify opportunities for leveraging policy change and supporting reform.

A PEA can be a powerful tool for improving the effectiveness of the NUP process. Converging the traditional concerns of politics and economics, it focuses on how power and resources are distributed and contested in different contexts, and the implications for urban policy development. It can support more effective and politically feasible development strategies, and can suggest more realistic expectations of what can be achieved, and the risks involved.

It can also contribute to better results by identifying where the main opportunities and barriers for policy reform exist and how transformation can occur.

By identifying how and where urban policy makers should focus resources on, it can help improve urban development. A PEA can be central to the formulation of sound a NUP and can play a key role in risk mitigation and ensuring that policy makers avoid harmful practices.



5 CONCLUSION

5. CONCLUSION

The challenges of rapid urbanization in large parts of the world are beyond the capacity of many municipalities to manage. Urbanization growth with the right policies can have a major impact on socio-economic expansion through healthier cities, job creation, human development and climate change adaptation. Conversely, mismanaged or unaddressed urban growth can serve to create hotbeds of extreme poverty, disease and violence. Many national governments find it arduous to develop explicit policies to address the problems and harness the immense potential of urban areas because of financial, political, institutional and possibly technical reasons.

This guide demonstrates the potential capabilities of national and subnational governments and the peculiar economic, social and environmental circumstances of cities. It shows that coordinated urbanization is vital for the future prosperity, stability and resilience of nations but these benefits will be held back without a comprehensive NUP. To achieve a comprehensive NUP, the urban situation needs to be fully analysed in the feasibility phase. It is vital to reiterate that the five NUP phases overlap rather than come one after the other, which also shows that each is just as important as the others. The decisions in one phase have implications for other phases and the lessons learned from each phase will contribute significantly to the successful implementation of a NUP. The reason is that it might be necessary to backtrack to a particular phase. There is a lot to gain from the feasibility phase; it legitimizes the urban issues of a specific country while making informed recommendations based on facts and

figures. National governments are unable to comprehend in great detail the diversity of local conditions and requirements. Subnational and local governments will have access to this information due to their knowledge of local needs and priorities, their proximity to local inhabitants and the pressure of local constituencies for greater accountability and transparency. Subnational governments in developing countries especially should be further empowered to encourage a bottom-up approach towards a NUP.

NUP discourse and formulation provides a platform to strengthen inter-sectorial collaboration and stakeholder engagement because the process requires a collaborative effort between all relevant stakeholders (central and local government, academia, private sector, civil society etc.) which leads to higher-quality decision making, enhanced capacity to create effective policies and transparent lines of communication, all of which are elements of an ideal NUP.

The role of research institutions and think tanks should be enhanced by the central government. They are the ones who can collect data, analyse and propose good practices. The findings collected by these institutions can be relevant to the issue of urban policies. Knowledge production and dissemination is vital to the development of nations and these institutions should be actively supported.

This guide has created a foundation for extensive preliminary discussions to be had with the various stakeholders. It has also expanded the role of the national government

in guaranteeing a sustainable urban future. The next step is to identify the stakeholders in each country that can begin to envision and direct the future of a NUP in that country. Each country is unique, it is important to understand issues and opportunities pertaining to that specific context, so that the right policies are sought and implemented.

The importance of the feasibility stage lies in the fact that the big picture is considered first. In this way, one or two general starter questions lead to a host of additional, more detailed questions that become increasingly narrower in focus as you get closer to reaching an answer. The feasibility phase is very focused and specific. It starts with the important question: "Why do we as

a country need a national urban policy?" This complex question could lead to the transformation of urban and rural lives in a country and start a dialogue between different key players.

There might be some temptation to rush through this phase during the creation of a NUP, but this should be resisted. The issue needs to be studied and understood in detail. The NUP needs to be tailored to the specific context and its feasibility determined. A NUP will generate some challenges for national governments in its feasibility and application, but it is vital to continue to raise awareness of the issues, stimulate public discussions and engage with policymakers about the major risks of not having a guiding framework to deal with urbanization.



6

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At a time of increasing globalization, the importance of cities and human settlements to ensure a nation's economic future cannot be overstated. Urbanization, therefore has become an important engine of growth for both national and sub-national governments

Urbanization is a mega-trend with profound implications for global transformation, the rate and scale of urbanization is reshaping not only the demographic profile of the continent but also the economic, environmental and social outcomes.

The rapid urbanization growth being experienced globally is both an opportunity and challenge, while the prevailing narrative has focused largely on the negative externalities of urbanization there is now an increasing recognition of its immense potential to be an important engine of growth for both national and sub-national governments. To capitalize on the potential of urbanization and limit its negative externalities, there is need for a framework that provides the coordination to maximize the benefits of urbanization while mitigating its risks.

A National Urban Policy (NUP) can provide such overarching framework if properly designed and implemented.

Global leaders clearly affirmed the need to harness the potential of urbanization for structural transformation through multiple frameworks such as the New Urban Agenda (NUA) adopted at Habitat III and the Sustainable Development Goals in 2015 particularly Goal 11 on cities and human settlements attesting to the importance of urbanization.

This feasibility guide is based on research and good practices drawn from countries that have already undertaken the feasibility phase of NUP. This guide comprises of corrective measures and proactive actions that foster economic, social, and environmental sensitive development. This guide will be extremely useful to policy makers, urban development departments and ministries and civil servants in the NUP process. This guide seeks to assist policy makers build the rationale for a NUP, understand the local political economy and ensure broad consensus for a NUP.

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