

# NATIONAL URBAN POLICY GUIDE



## MAINSTREAMING URBAN-RURAL LINKAGES *in* NATIONAL URBAN POLICIES



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*in* NATIONAL URBAN POLICIES

## MAINSTREAMING NATIONAL URBAN POLICIES IN URBAN-RURAL LINKAGES: NATIONAL URBAN POLICY GUIDE

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# Foreword



I am delighted to introduce this new publication entitled “Mainstreaming Urban-Rural Linkages in National Urban Policies”. The development of National Urban Policies is a recommendation of the New Urban Agenda. UN-Habitat has developed a variety of tools and platforms, as well as provided technical assistance to Member States for this task. In alignment with the New Urban Agenda and Sustainable Development Goal (SDG) 11, these policies provide strong territorial dimension to sustainable urbanisation especially with SDG 11.a that calls for integrated urban, peri-urban and rural planning.

Attention to the dynamic interactions of rural-urban people and places are expected to be an integral part of the formulation and application of a National Urban Policy as directed by the Sustainable Development Goals and the New Urban Agenda.

Recognising that national and subnational governments are at different stages with regards to urban policies, UN-Habitat has developed a five-phase approach to developing a National Urban Policy.

The first part of this Guide provides the rationale and process of bringing Urban-Rural Linkages into National Urban Policy processes. The second part addresses how to mainstream policy processes and the third part, recommendations based on 15 national and subnational experiences in different regions.

Tools are provided in the appendices to assess their the level of incorporation in each of the five phases of policy process and possible recommendations based on sections from the Urban-Rural Linkages: Guiding Principle and Framework for Action.

This document will be a key instrument for the implementation of UN-Habitat’s Resolution HSP/HA.1/Res.5 on “Enhancing urban-rural linkages for sustainable urbanization” adopted during the first UN-Habitat Assembly in May, 2019. It will also significantly contribute to the realization of UN-Habitat’s Strategic Plan 2020-2023.

I hope professionals and policymakers working on the urban-rural policy interface will find this guide useful to support their actions and decisions.

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## List of Acronyms

<b>NUP</b>	National Urban Policy
<b>URL</b>	Urban-Rural Linkages
<b>NUA</b>	National Urban Agenda
<b>SDG</b>	Sustainable Development Goals
<b>ICT</b>	Information and Communication Technology
<b>IGUTP</b>	International Guidelines for Urban and Territorial Planning
<b>ITD</b>	Integrated Territorial Development
<b>URL-GP</b>	Urban Rural Linkages Guiding Principles
<b>FfA</b>	Framework for Action

# Glossary

**International global frameworks:** Global normative frameworks that address urban-rural linkages include the 2030 Agenda for Sustainable Development with the SDGs, the New Urban Agenda, the Paris Agreement (UNFCCC), among others.

**Sustainable Development Goals:** The SDGs are a central part of the 2030 Agenda for Sustainable Development launched to succeed the Millennium Development Goals (MDGs) in 2015 with a first global goal for sustainable cities (SDG 11).

**New Urban Agenda:** The NUA was the negotiated outcome of the 2016 UN Conference on Housing and Sustainable Urban Development in Quito, Ecuador (Habitat III) with emphasis on integrated urban and territorial planning and development.

**Planet of cities:** Global urbanization trends are projected to lead towards a “planet of cities”, as recognized in the 2016 World Cities Report titled Urbanization and Development: Emerging Futures, UN-Habitat

**International guidelines on Urban and Territorial Planning:** The IGUTP is a framework for action to promote integrated urban and territorial planning approved by UN-Habitat and incorporated into the New Urban Agenda.

**Urban-Rural Linkages:** UN-Habitat defines urban-rural linkages (URL) as the spatial flows of products, services and information/expertise between urban and rural areas; mobility and migration between urban and rural areas; ... inclusive investment and finance in both urban and rural areas.

**Urban areas:** Urban areas or cities are defined as built up and urbanized open spaces and by degree of urbanization according to the UN-Habitat report “[What is a City](#)” (2019)

**Rural areas:** A rural area or countryside is a geographic area that is located outside towns and cities with low population density and small settlements.

**Peri-urban areas:** Transition zones between urban and rural spaces in which proximity to both urban and rural areas bring social, economic and environmental interactions between urban and rural areas.

**Acupuncture projects:** Projects that utilize entry points that have a rippling impact upstream and downstream, throughout dynamic and interrelated economic, social or environmental systems.

**Quick win projects:** Projects that for political, economic or social reasons are more likely to have near term results, the success of which will build into longer term and larger scale results.

**Mainstreaming URL in NUPs:** Incorporation of urban-rural linkages in the processes, policy and practice of national urban policies and their impact on large, small and intermediate towns and cities.

**National Urban Policy:** NUPs are a major policy vehicle developed by UN-Habitat to implement the New Urban Agenda (NUA).

**Phases of NUPs:** The four phases of NUPs are diagnosis, formulation, implementation and monitoring.

**Pillars of NUP:** The pillars of NUP are participation, capacity development, and acupuncture project.

# Summary

UN-Habitat has been assisting Member States to develop National Urban Policies (NUPs) as a follow up to the New Urban Agenda (NUA) which calls for integrated urban and territorial planning and development. In the process of formulating NUPs, however, it has become evident that there are gaps in guidance for key thematic areas that impact the efforts of Member States' to be inclusive, leaving no one and no space behind. One of these thematic areas is urban-rural linkages (URLs). Following facilitation of a global consensus-building process convened by UN-Habitat in 2018 to define Urban-Rural Linkages Guiding Principles (URL-GP) and a Framework for Action to transcend the urban-rural divide, this guide addresses both challenges and opportunities to have effective NUPs when the dynamic interactions of urban, peri-urban and rural areas are actively taken into account. Strengthening URLs requires addressing the connections between urban and rural poverty, inequity and other challenges in an integrated approach. Implementation of global agendas, including the 2030 Agenda (SDGs), the NUA, the Paris Agreement, and UN-Habitat

General Assembly resolutions, among others, have lifted the importance of urban-rural linkages in policies and planning<sup>1</sup>. Given the complexity of the intersecting challenges from economic volatility, severe climate events and increased human mobility, the localization of the global agendas is a growing priority -- to enable subnational local and regional governments to innovate and scale up good practice. From widespread agreement that URLs are indeed a significant pathway to implement global normative policy, it is evident that **practical guidance is needed** on just how and what to mainstream in national policy. Guidance is required to help incorporate urban-rural linkages in policy and in governance systems of towns, cities and territories. A country's development of NUP is among the indicators for the implementation of the NUA and of the SDG 11.a. target, as both call for integrated planning across the urban-rural continuum.

.....  
1 Such recognition has occurred at the global level, for example in a high level event organized in February 2019 by the President of the UN General Assembly, FAO and UN-Habitat, as well as at regional, national and subnational levels.



This quick guide on mainstreaming urban-rural linkages (URL) in National Urban Policy (NUP) is comprised of three parts: why mainstream URL in NUP, how to mainstream URL in NUP and what to recommend for NUP.

**PART ONE** provides a rationale in answering the question “why?”. What is the significance of strengthening URLs and the global agreements that recognize their importance for example in relation to SDGs and to the New Urban Agenda. The ten URL Guiding Principles (URL-GP) and Framework for Action (FfA) are explained in this guide as a tool for mainstreaming URL in national policy. The FfA provides 11 fields for action depending on priority challenges and policy opportunities. This guide helps link both guiding principles and actions to strengthen urban-rural linkages in the context of NUP.

**PART TWO** highlights how policymakers can use this guide to either mainstream URL in an already complete NUP document, or in a NUP under different phases of development. NUP implementation is comprised of five phases, namely feasibility, diagnostic, formulation, implementation, monitoring and evaluation. This guide provides suggestions for strengthening URLs in each phase. If the process of NUP development is advanced; policymakers should assess the feasibility phase specifically for mainstreaming URLs.

This will provide guidance on what information to gather and which stakeholders to include following the phases of mainstreaming URLs in NUP. A checklist is provided in this guide to proceed through the five NUP phases, but with a focus on URL in order to arrive at the policy recommendations related to URLs. The guide thus provides a framework for assessing URL in each phase of NUP development with tools for identifying challenges, opportunities, priorities, stakeholder engagement, data gaps and policy recommendations.

**PART THREE** provides a set of recommendations for mainstreaming URL in policy with reference to the URL-GP and eleven fields in the Framework for Action. These recommendations may be useful for the diagnostic and formulation phases of the NUP, where policymakers define URL approaches -- informed by assessed challenges and opportunities. The policy recommendations aspire to a unified

framework that may also help determine the methods and institutional mechanisms for implementation. Part three is complementary with part two such that the specific challenges and opportunities identified are also specifically addressed in policy recommendations.

This guide provides a framework that can be revisited when different challenges or opportunities arise in different contexts. It is designed to be a reference document for government officials, development partners, civil society, the private sector, research organizations and others. It also has checklists as appendices which can be copied or adapted for use or for training the responsible stakeholders. It also provides a template for an action plan to implement specifically mainstreamed URL components in ministries or agencies.



# 1

## WHY MAINSTREAM URBAN-RURAL LINKAGES

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## 1

# INTRODUCTION

This document primarily addresses decision-makers and stakeholders engaged in formulating, implementing, monitoring and evaluating national urban policy (NUP). This guide presents how these NUPs should strengthen urban-rural linkages and empower local authorities as key actors in that effort.

The urban population of the world has grown rapidly, from 751 million in 1950 to 4.2 billion in 2018<sup>2</sup>. Projections show that urbanization, the global shift in peoples' residence from rural to urban areas, combined with the overall growth of the world's population, could add another 2.5 billion people to urban areas by 2050<sup>3</sup>. More than 55% of the world population is living in urban areas and this has been projected rise to 68% in 2050. Rural-urban migration is most of the time viewed as the main cause of urbanization; however urban population growth is also the result of the natural increase of the urban population. Urbanization has resulted cities developing and advancing as rural settlements are left behind in most countries, but especially in low-income countries. More investment, technology and policy support is directed to urban areas for infrastructure, the provision of health and social services, and economic and technology development, while development funding continues to decline in rural areas and for provision of services for rural agricultural activities. Nonetheless towns and cities always have been and still are fundamentally reliant upon rural areas for provisioning urban areas.

Such provisioning starts with food, including crop, animal and fish products, but as important also includes water, fiber and industries of all kinds that support urban growth. Due to many changes in the dynamic relationships between rural and urban areas, the binary divide between urban and rural is no longer functional, and in many cases, makes the situation even worse. As urbanization takes place, the peri-urban and rural areas should be considered integral to sustainable urban development. The functional and spatial development gaps between predominantly urban and predominantly rural areas are widening with grave economic, social and environmental consequences.

As towns and cities grow, nearby peri-urban and rural land is converted in many cases for urban land uses. This spatial expansion of the built environment should be managed through policy leading to strategies and plans. One target of the Sustainable Development Goal for cities (SDG 11.a) highlights the need to support the positive social, environmental, and economic linkages between urban, peri-urban and rural areas through strengthened national and regional development planning. This is further supported by the NUA which calls for support of small and intermediate cities as well as for the urban and territorial planning and development approach that includes urban and rural areas. Urban-rural linkages is not a new issue on the global agenda and was first highlighted in the 1976 Vancouver Action Plan (Habitat I) and multiple times in UN-Habitat resolutions. However, calls for action to address URLs are more urgent now.

2 <https://www.un.org/development/desa/publications/2018-revision-of-world-urbanization-prospects.html>

3 World population prospects 2017; <https://esa.un.org/unpd/wpp/>

National and subnational regional governments should offer leadership and enabling support for local governments to integrate urban and rural development, for example through National Urban Policies. The United Nations Economic Commission for Africa (UNECA) calls for a regional approach to leveraging urbanization for Africa’s structural transformation<sup>4</sup>, and notes that countries in Africa should recognize the critical role of cities and all other human settlements in national policy response to urbanization. National urban policies (NUPs) are sets of decisions to promote sustainable, inclusive and resilient urban development, and include a territorial approach to integrate urban, peri-urban and rural areas and communities. NUPs should therefore address urban issues while also incorporating rural interactions with different levels of human settlement (villages, small towns, intermediate cities and larger cities). This guide will thus respond to how urban-rural linkages should be mainstreamed in urban policy.

<sup>4</sup> (UNECA, 2017)

## 1.1. Background

A national urban policy is an important tool available to governments that seek to manage and direct rapid

This guide has been developed through a review of how existing NUPs and other policies and frameworks guiding urban development that have addressed urban rural linkages. One such framework directly addressing this was convened by UN-Habitat and diverse stakeholders. The Guiding Principles for Urban-Rural Linkages (URL-GP) and Framework for Action (FoA) provides the foundation for this guide. Based on the URL-GP, the guide presents eleven recommendations which may be incorporated in developing or reviewing national or subnational urban policies. The recommendations include examples of NUPs in countries that have included URLs in their urban policies and other frameworks guiding urban development. The recommendations are not prescriptive but provide options on how and what URL dimensions may be included in urban policies depending on context, analysis and stakeholder engagement. Some guidance is also provided on how and at what stages URLs can be best incorporated in policy related to the pillars and phases of implementing NUPs.

urbanization and to turn urbanization into a positive effect while accommodating its inevitable stresses.



A **national urban policy** (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 works towards a better future but recognized over 40 years ago that urban and rural areas are interdependent. Other terms in use include: urban-rural continuum, rural-urban

synergies, integrated territorial development (ITD), functional territories or regional development that combine urban, peri-urban and rural planning and development. UN-Habitat defines **Urban-Rural**











**Linkages** as non-linear, diverse urban-rural interactions and linkages across space within an urban-rural continuum, including flows of people, goods, capital and information but also between sectors and activities such as agriculture, services and manufacturing. In general, they can be defined as a complex web of connections between rural and urban dimensions<sup>5</sup>.







<sup>5</sup> <https://urbanrurallinkages.files.wordpress.com/2019/04/url-gp.pdf>

**These linkages and interactions between urban and rural areas are described to include diverse aspects, such as:**

-  (i) population and human capital;
-  (ii) investments and economic transactions;
-  (iii) governance interactions;
-  (iv) environment and amenities;
-  (v) products and services; and
-  (vi) information and data – along with the different structures supporting (or constraining) them: infrastructures, economic structures, territorial structures and governance structures.

UN-Habitat defines 10 URL guiding principles (see below) to strengthen urban-rural linkages from different perspectives which will form the basis for the recommendations for NUP in the respective sections.

**Box 1.** *Guiding principles of urban and rural linkages (URL-GP) (include icons)*

-  **1. Locally grounded interventions:** Translate global normative agendas in national and subnational commitments for territorial cohesion and action.
-  **2. Distributed governance:** Incorporate the urban-rural nexus in multi-sectoral, multi-level and multi-stakeholder approaches to governance integration.
-  **3. Spatially and Functionally integrated:** Promote integrative, inclusive and systems-based approaches to urban and territorial planning.
-  **4. Financially Inclusive:** Secure and prioritize sustainable and responsible investments balanced between and conducive to urban-rural linkages formal and informal sectors.
-  **5. Balanced partnership:** Foster partnerships, alliances and networks that link urban and rural actors and different sectors and are inclusive, participatory and held accountable.
-  **6. Human rights-based:** Embed human rights-based approaches in all policy instruments and actions across the urban-rural continuum.



**7. Do no harm and provide social protection:** Build urban-rural linkages to recognize cultural differences, overcome conflict, and inequalities in provision of social and health services.



**8. Environmentally sensitive:** Protect, sustain, and expand areas important to biodiversity and ecosystem services in transition to resilient, resource efficient societies.



**9. Participatory engagement:** Create spaces and mechanisms to ensure meaningful participation of people, local institutions and communities across the urban-rural continuum.



**10. Data driven and evidence-based:** Establish or improve knowledge systems for the urban-rural continuum and territorial cohesion.

Source: <https://urbanrurallinkages.files.wordpress.com/2019/09/url-gp-1.pdf>

**The URL-GP Framework for Action identifies eleven fields of action in the following thematic areas:**

**Box 2.** *Fields of Action for strengthening URL*



- **Governance, legislation and capacity development:** assess capacity and needs for policy tools; enhance dialogue and cooperation across sectors and planning levels and convene new multi-level, multi-sector and multi-actor governance mechanisms and support inclusion of affected urban and rural populations.



- **Integrated planning across the urban-rural continuum:** Support localization of national planning; integrate urban-rural linkages and integrated territorial development in National Urban Policies and promote networks and associations of planners in different jurisdictions.



- **Investment and finance for inclusive urban-rural development:** Address and improve public and private finance and access to credit across the urban-rural continuum, focusing on small and intermediate towns and cities and integrated urban-rural territories. Strengthen financial intermediation services and enable ecosystem service provision in peri-urban and rural areas.



- **Empower people and communities:** Assess and support inclusive multi-actor participatory processes and partnerships; directly address and compensate for inequities across the urban-rural continuum in order to create balance and inclusion from informal and formal sectors.



- **Knowledge/data management for dynamic spatial flows of people, products, services and information:** Improve collection and management of spatially and gender disaggregated data and knowledge, including ensuring a balance between inclusion of the formal and informal sectors.



- **Territorial economic development and employment:** Coordinate urban and rural economic development to enhance synergies; harness the potential of small and medium size towns and apply innovations in participatory credit, finance and enterprise incubation schemes to create new jobs that improve territorial flows of products, services and information.



- **Coherent approaches to social service provision:** Identify needs and opportunities where stronger urban-rural linkages can impact more spatially and socially equitable service provision; pilot new urban-rural partnerships for health and social services outside cities.



- **Infrastructure and communications:** Perform integrated and inclusive urban-rural infrastructure needs analysis; jointly plan, finance and construct infrastructure for water, sanitation, roads and public transport, electrification and communication, etc.



- **Integrated approaches for food security, nutrition, and public health:** Mainstream health and well-being by building coherent and linked urban-rural approaches to food, water, energy and health systems with attention to the multiple benefits of the circular economy of the urban-rural nexus, especially when coupled with capacity development and inclusion.



- **Environmental impact and natural resource and land management:** Conduct strategic environmental assessments to reduce environmental risk from severe flooding, drought, storms, etc; address land and water tenure and sustainable use of natural resources, protect biodiversity, promote ecosystem-based production systems and build resilient landscapes.



- **The urban-rural continuum in the face of conflict and disaster:** Assess risks, gaps and vulnerable populations in relation to potential hazards in urban, peri-urban and rural areas; jointly plan for resilience measures and invest across jurisdictions to protect transport, energy, information, health, education, food and water systems, etc.

Source: <https://urbanrurallinkages.files.wordpress.com/2019/04/url-gp.pdf>

## 1.2. Rationale for URL

The world has rapidly transitioned from being rural to urban in less than 100 years and human settlements have increased from being 15% to 55% urbanized, trend expected to continue and rise to 68% by the middle of the 21st century<sup>6</sup>. However, more than 85% of the global poor live in rural areas<sup>2</sup>. As urban populations grow, urban areas are expanding beyond their borders through both formal and informal means, often absorbing smaller settlements in their growth path. The spatial expansion and increasing interconnectivity of both megacities and secondary cities have resulted in the emergence of mega-urban regions that encompass other cities, towns, villages and rural areas in the form of planned or unplanned urban areas – posing challenges to the management of urban issues under a governance structure defined by administrative boundaries.

A “Planet of cities”<sup>7</sup> is as a result of this growing urban phenomenon, but not all people living in urban areas live in large cities or metropolitan regions. One in eight people live in a megacity, but nearly half of the world’s population live in smaller areas, with a population of less than 500,000 people<sup>8</sup>. The small and intermediate cities (which have population of less than 500,000) cannot therefore be overlooked; the world cities 2016 report also states that the cities with a population of less than 1 million population will have the fastest growth especially in developing countries. This shows the need to foster and strengthen the functions of all levels of human settlements, from a hamlet to a megacity. Fostering human settlements involves not only the physical provision of infrastructure and services in urban and rural areas but also strengthening the institutional capacity of all the government authorities among others.

6 <https://esa.un.org/unpd/wpp/>

7 Planet of cities is a distribution and inter-relationships of urban centers over space-----to be revised

8 United Nations, 2016, The World cities 2016

The world urbanization prospects 2018<sup>9</sup> revision report highlights that as the world continues to urbanize, sustainable development challenges will be increasingly concentrated in cities, particularly in the lower-middle-income countries where the pace of urbanization is fastest. It thus states that integrated policies to improve the lives of both urban and rural dwellers are needed, while strengthening the linkages between urban and rural areas, building on their existing economic, social and environmental ties.

International guidelines for urban and territorial planning (a globally applicable tool to improve strategies and practices) advocates for planning across administrative boundaries involving multiple levels of government and multi-sector stakeholders that include civil society, academia and the private sector in urban and rural areas<sup>10</sup>. This integrated planning approach promotes inclusive financial investments in urban and rural areas through provision of the relevant infrastructure and services including ICT. The infrastructure provision promotes the spatial flows of (people, natural resources, capital, goods, ecosystem services, information, technology, ideas and innovation) in the urban-rural continuum which are all drivers of economic growth and development. Migration, especially rural to urban in the urban-rural continuum, must also be taken into consideration to ensure no-one and no place is left behind. There are also disasters and negative environmental impacts associated with urbanization, some affecting populations in the urban-rural continuum. An integrated approach incorporating the urban and rural areas is relevant for managing all these urbanization related issues.

9 <https://www.un.org/development/desa/publications/2018-revision-of-world-urbanization-prospects.html>

10 UN Habitat; 2015, International Guidelines for Urban and Territorial Planning;

### 1.3. URLs in the International Global Frameworks

In line with the implementation of SDG 11 calling for sustainable urbanization, the indicator for 11.a.1 emphasizes interdependency, interconnection and complementary of urban and rural areas. NUPs were identified as the tool for monitoring progress in the indicator for 11.a.1 and the New Urban Agenda (NUA). Governments can use NUPs to promote sustainable development that cuts across urban, peri-urban and rural areas. NUP should provide a national development framework that would promote stronger linkages between urban, peri-urban and rural areas

by a) linking sectoral policies; b) connecting national, regional and local governments and policies; c) strengthening urban, peri urban, and rural links through integrated territorial development; and d) increasing subnational governments' resources to achieve a full access of basic services at the local level<sup>11</sup>. This is also fundamental to the attainment of many other SDG targets. Boxes 3 and 4 give an overview of the global normative frameworks that have emphasized on the need for consideration of Urban-Rural linkages.

11 <https://unhabitat.org/sdg-11-synthesis-report/>

#### Box 3. SDGs and Urban-Rural Linkages

**Provisions in major new global frameworks that were established in 2015 that are relevant to or supportive of national urban policy include the following:**

- The Sustainable Development Goals adopted by Member States in 2015 have clearly identified the need to renew work on Urban-Rural Linkages as one of the transformative interventions. Goal 11 seeks to (Make cities and human settlements inclusive, safe, resilient and sustainable), particularly Target 11.3 (By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries), Goal 11.a (Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning.

The New Urban Agenda includes key actions addressing integrated urban and territorial development and URLs:

#### Box 4. The New Urban Agenda and Urban-Rural Linkages

**Paragraph 95** states that; the Member States will support implementing integrated, polycentric and **balanced territorial development policies and plans**, encouraging cooperation and mutual support among **different scales of cities and human settlements, strengthening the role of small and intermediate cities and towns** in enhancing food security and nutrition systems.....

**Paragraph 75** states the commitment to long-term **urban and territorial planning** processes and spatial development practices that incorporate integrated water resources planning and management, considering the **urban-rural continuum** at the local and territorial level

**Paragraph 49** is a commitment to support territorial systems that integrate urban and rural functions into the national and sub-national spatial frameworks

**Paragraph 96** encourages "implementing **sustainable urban and territorial planning**, including city-region and metropolitan plans, to encourage synergies and interactions among urban areas of all sizes, and their peri-urban, and rural surroundings, including those that are cross border, and support the development of sustainable regional infrastructure projects that stimulate sustainable economic productivity, promoting **equitable growth** of regions across the **urban-rural continuum**."

### 1.3.1. URL in the UN-Habitat Agenda

UN-Habitat has also previously addressed urban-rural linkages in their resolutions since the first habitat at Vancouver in 1976 that stressed the importance of the rural dimension. This has further been elaborated in the subsequent resolutions (see box 5) in 1999, 2003, 2013 and finally in 2015 where this was re-emphasized and taken up towards the development of the International Guidelines of Urban and Territorial

Planning (IGUTP) published in 2015 and Urban-Rural Linkages Guiding Principles (URL-GP) published in 2019. In preparation for Habitat III an Issue Paper addressing urban-rural linkages was prepared in partnership with partners submitted; this led to the inclusion of urban-rural dimensions in many paragraphs of the New Urban Agenda.

#### **Box 5. UN-Habitat Assembly earlier Urban-Rural linkages Resolutions**

- Vancouver Action Plan (Habitat I) 1976, stressed the importance of the rural dimension of human settlements
- Resolution HS/GC/17/10 of 14 May 1999 of the Commission on Human Settlements requested that urban-rural interdependence be taken into consideration in the execution of the work programme of United Nations Human Settlements Programme (UN-Habitat), given the strong synergy between urban and rural areas;
- UN-Habitat Resolution HSP/GC/19/6 of 9 May 2003 on Urban-Rural Linkages and sustainable urbanization laid the ground for the 2005 publication entitled “Urban-Rural Linkages Approach to Sustainable Development”
- UN-Habitat Resolution HSP/GC/25/1 and 25/4 of 2015 proposed the need to reduce the disparities between the urban and rural areas through infrastructure development and strengthening of small and intermediate cities
- UN-Habitat Resolution HSP/GC/24/3 promoted inclusive and sustainable urban planning and elaboration of international guidelines on urban and territorial planning; it reinforced the importance of regional planning which addresses the need of urban and rural spaces.

In 2019 however, was an advancement of this work, since it was during the first UN-Habitat Assembly that the resolution<sup>12</sup> on urban-rural linkages was adopted with reference to the Urban-Rural Linkages; Guiding

<sup>12</sup> [https://papersmart.unon.org/sites/default/files/Draft%20Urban-Rural%20Linkages%20Resolution%2026052019\\_0.docx](https://papersmart.unon.org/sites/default/files/Draft%20Urban-Rural%20Linkages%20Resolution%2026052019_0.docx)

principles and Framework for Action publication. The resolutions that specifically gives reference to this guide on mainstreaming urban-rural linkages in National Urban Policy are highlighted in box 6.

**Box 6. UN-Habitat Assembly 2019 Urban-Rural linkages in policy Resolutions**

- OP 2. Strongly encourages Member States to take into account urban-rural linkages in their respective national and subnational development planning policies and processes in order to strengthen the economic, social and environmental links between urban, peri-urban and rural areas, including their surrounding territories;
- OP 5. Also requests the Executive Director, in cooperation with appropriate partners, to disseminate and share good practices and policies relating to the impact of urban-rural linkages that could be replicated in other countries; and
- OP 6. Further requests the Executive Director, in consultation with appropriate partners and within the scope of available resources, to assist Member States, upon request, in developing policies and programmes to address migration from rural to urban areas.

The UN-Habitat Strategic Plan 2020-25 (see Figure 1) on the other hand aims to address the challenges in the urban-rural nexus through two domains of change/goals. The first domain of change is **“Reduced spatial inequality and poverty in**

**communities across the urban-rural continuum”** and secondly **“Enhanced shared prosperity for cities and regions”**. This guide aims to ensure that this issues are addressed through policies and other relevant frameworks.

**Figure 1.** UN-Habitat Strategic Plan 2020-2025

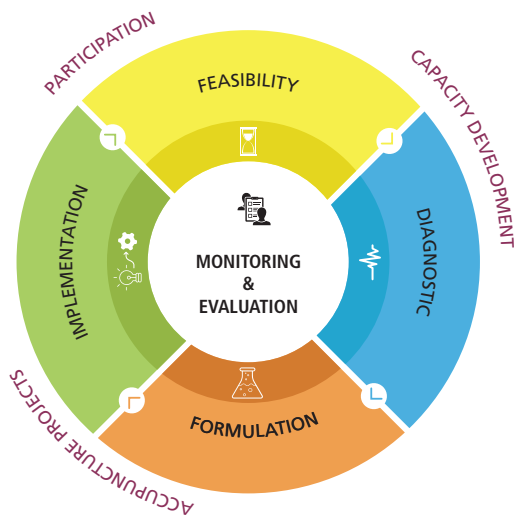


## 1.4. UN-Habitat NUP Process

UN-Habitat advises countries to apply an integrated approach to NUP that has five phases and three supporting pillars. As shown in Figure 2, the NUP phases are: feasibility, diagnosis, formulation, implementation, and monitoring and evaluation. The three key pillars are: participation, capacity development and acupuncture projects.

Mainstreaming of thematic areas such as urban-rural linkages entails embedding an area into the National Urban Policy process. This entails considering urban-rural linkages from the beginning of the NUP process as feasibility and subsequently in the other phases. Part two highlights the specific activities in mainstreaming process to the various NUP phases.

**Figure 2.** *NUP Phases and Pillars*



**Feasibility:** the first NUP phase where a case for mainstreaming sustainable food systems and improved nutrition is identified.

**Diagnosis in NUP:** this is a phase in NUP process where evidence of the existing situation of the food nutrition and system and alternative approaches are gathered involving all the relevant stakeholders.

**Formulation of NUP:** this is the phase where the proposals for mainstreaming food and nutrition are derived and selected from the alternative options in the previous phase.

**Implementation of NUP:** in this phase the implementation plan of the policy proposals including budgeting and responsible agencies or persons for implementing food systems and nutrition policy programs are clearly defined and executed.

**Monitoring and evaluation of NUP:** monitoring of food system and nutrition sensitive strategies happens throughout the process and thus evaluation of the outcome of the implemented projects or programs as relates to food system and nutrition in policy.





**Participation-** achieving true participatory approach to NUP development means integrating participatory approaches throughout the formation of a policy which determines the degree of input by the public to be reflected ultimately in policy.



**Acupuncture projects-** the aim of this pillar is to ensure that a policy action is being translated into direct action ensuring that policy directives are relevant and implementable.



**Capacity development-** integrating the capacity development at all levels of government is necessary for building sustainable a sustainable policy. this should be through assessment and development of human, financial and institutional capacity to ensure that NUP can be developed, implemented, implemented and monitored and evaluated.

## 1.5. Methodology

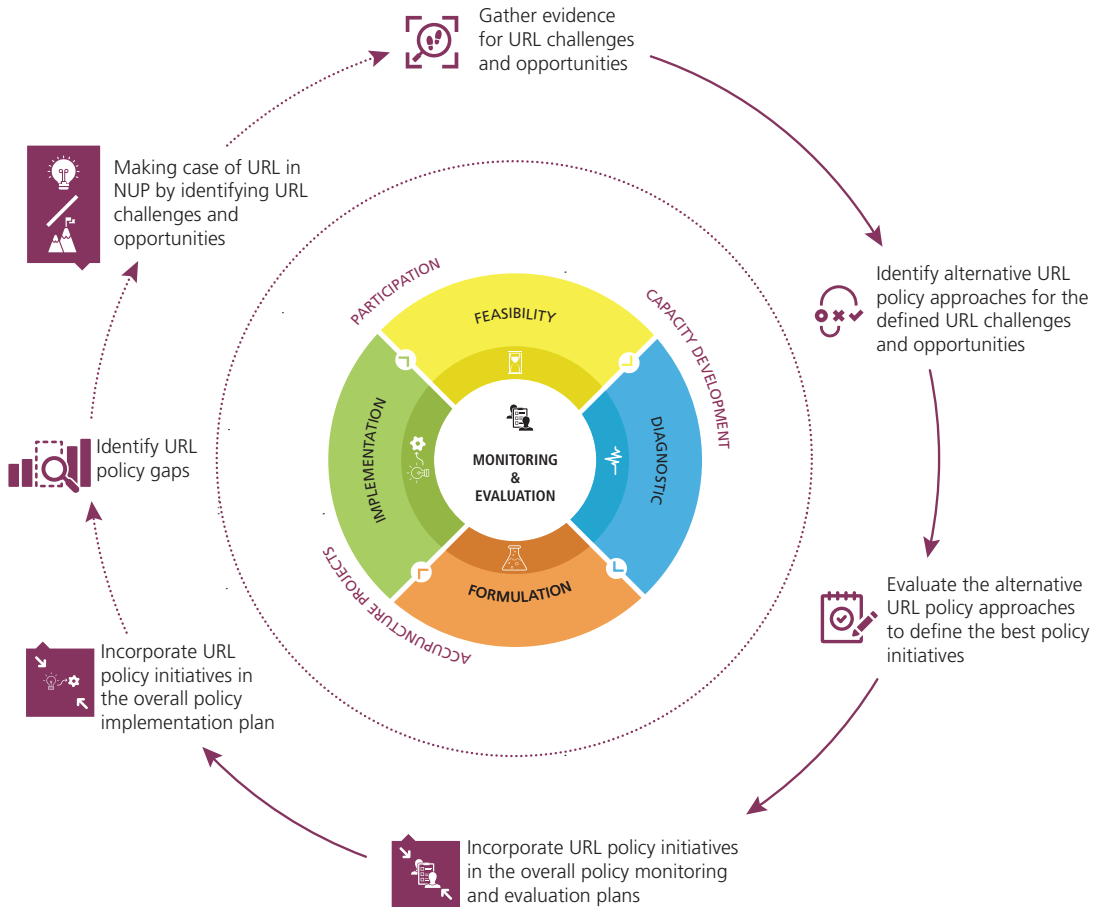
As earlier mentioned, the NUA call for strengthening of NUPs which can be through mainstreaming various thematic areas which include urban-rural linkages. However, every country context is unique; some countries have explicit National Urban Policy while others have partial NUP which are a collection of urban-related policies, strategies or plans for urban development at national level. Others still have no NUP and are gaining interest in developing one or still have no plans for NUP.

This **guide provides a framework in which policy makers** can use to ensure that urban-rural linkages is addressed in policy; **whether an explicit or partial NUP or sector policy** depending on the context. It is important to note that this guide can be used either for review of a complete policy or during the policy development process. The checklist in appendix 1 provides the basis for the mainstreaming process despite the type of mainstreaming; during the process or of a complete NUP.

The summary of how this guide may be used is outlined in figure 3; it entails the initial stage of making case for mainstreaming URL through identification of the challenges and opportunities as well as the relevant stakeholders. The initial stages of these **assessment of the challenges could be supported by UN-Habitat URL tools and methodologies among other methodologies.**

Once the URL challenges and opportunities have been identified; the next step is identifying alternative policy approaches. The alternative approaches are evaluated and the best options defined which are incorporated in the policy implementation and monitoring and evaluation plans. This guide presents a section; part two which describes the mainstreaming process of URL in policy. This part describes phase by phase activities which should be considered by policy makers in mainstreaming, the other part which is part three; presents **11 recommendations** which are in line with the framework of action of the guiding principles of URL. The recommendations provide a framework for making policy options in NUP for URL.

**Figure 3.** *Mainstreaming Process*





# 2

## HOW TO MAINSTREAM URL IN POLICY

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# 2

## URL MAINSTREAMING IN NUP PROCESS

As outlined in the first section of this guide, NUPs typically evolve through 5 phases namely: feasibility, diagnostic, formulation, implementation, and monitoring and evaluation. NUP phases are interconnected; thus, despite the NUP phase, a country should start at the feasibility phase requirements to specifically apply the URL-GP as outlined in the checklist in appendix 1. Each Phase has a checklist for consideration by policy makers; not necessarily to have a separate document for mainstreaming URL in NUP, but to knit URL into the policy process. The checklist helps to ensure that nothing concerning the URL issues identified is left out. This checklist has included activities related to that NUP general process that are specific to URL. Figure 3 outlines the URL mainstreaming process fit in to NUP process.

The **feasibility** phase in the policy process entails seeking evidence for mainstreaming URLs in policy by identifying the challenges and opportunities of urban-rural linkages in a specific context. In **defining the URL challenges and opportunities UN-Habitat tools and methodologies among other methodologies (provide link)** could be applied as the first step. All the stakeholders relevant for particular URL challenges and opportunities outlined are later mapped out to identify their roles and the extent to which they have been engaged in these thematic areas in decision making processes. Policies that incorporate the URL challenges and opportunities identified are also outlined and reviewed for gaps to address them.

In the **diagnostic** phase, preliminary research (using the **URL challenges assessment tool**) about the URL challenges and opportunities identified in the

previous phase is conducted to define what data is available, the level of disaggregation, method of collection, analysis and presentation of the gathered evidence. This also helps in defining the data gaps that would require field survey and stakeholder engagement using the **URL data management framework and matrix**. This will result in a report that is both an assessment and analysis of the various URL challenges and opportunities identified; their character and extent. From this analysis, recommendations for policy are made with reference to the 11 recommendations in this guide. For the specificity of the challenge, the recommendations provide guidance on what policy initiatives could include. The challenges and opportunities are therefore linked with the recommendations given in this NUP-URL guide, ensuring that if they fall in more than one recommendation nothing is left out. The recommendations should include alternative approaches for every URL challenge. The human, financial, technical and institutional capacity gaps for URL priorities are identified and documented using the **URL Capacity gaps assessment tool**. This tool guides the preparation of the human, financial, technical and institution capacity development strategies for the relevant stakeholders for URL using the **URL Priority Assessment tool**.

In the **formulation** phase the alternative approaches are analyzed, identifying the strengths, weaknesses, opportunities and threats. Through this, the best approaches with more strength and opportunities are selected. This then helps to identify the most effective policy initiatives for the URL challenges and opportunities. When the specific policy initiatives are identified, there is also a need to identify if the

relevant stakeholders/actors have the appropriate human, technical and institutional capacities. If the capacities are different from those in the strategies developed in the previous phase, they should be incorporated in the finance, human capacity development, technical capacity development and institutional capacity development strategies. It is in this phase also that an action plan in appendix 4 for implementing the URL policy proposals is developed. The action plan captures several aspects of the URL Policy proposal implementation which includes: the respective recommendation (from this guide), policy initiative, the activities, timelines, indicators of success, cost of estimate, source of funding, implementing agency and the leading agency.

In the **implementation** phase the action plan acts as guidance for ensuring that policy initiatives are executed, see Appendix 4 for the template. The first step is however ensuring that all the relevant stakeholders have approved and agree with the action plan. The action plan contains the activities, the indicators of achievement, the actors or organizations responsible, the estimated costs and the source of funding. It is therefore important to ensure that the finance, human capacity, institution, technical and legal strategies are executed. The indicators in the action plan will help in the feedback mechanisms and monitoring of the effectiveness of the activities for the URL policy initiatives.

**Monitoring and evaluation** is something that ought to take place in every phase during the process. The checklist in appendix 1 will assist in monitoring the mainstreaming of URL in policy process. This includes confirming have all the stakeholders taken up their roles and are they able to effectively execute them. Has the human, financial, legal, institution, technical strategy been effective for implementation of policy? Have the timelines been followed and are they effective? Evaluation takes place while checking

the outcomes of every URL policy initiative. Have the policy changed the situation in the country or region including how institutions work. Have there been challenges and how can they be addressed?

The process of mainstreaming the URL-GP is based on the five NUP phases described above, depending on the stage of NUP process, for example whether a complete NUP exists or is under development. For a **NUP in the process of being developed** the policy maker should ensure that the **NUP process and URL mainstreaming process occur concurrently**. For a complete NUP/sector policy document, there is no major difference in the process since policy makers should follow similar activities highlighted in Appendix 1 in the five phases. The only difference is that for the complete NUP/Policy document, the URL policy proposal should fit in an already existing framework and thus the **existing policy must be reviewed**. During the process of developing a NUP where no NUP exists, other policies that could be **reviewed** include the **sectoral policies, national strategies, subnational policies where competences for URL are allocated at subnational level and international policies also** related to the identified URL challenges or opportunities - to check for gaps. It is important to note that it is in phase one, feasibility, that the existing policy will be reviewed and analyzed based on the challenges and opportunities identified. The review will be conducted using the checklist in Appendix 3 based on the recommendations that best fit the URL challenges or opportunities identified. For example, to address food security challenges in the checklist in Appendix 3, one would check those under recommendation 9 "*promote food and nutrition security and public health in both urban and rural areas*". This checklist is instrumental for checking on areas that are left out based on the URL challenges and opportunities in a country or region and forms a basis for data collection, analysis and presentation for the URL policy proposal.

## 2.1. Support Pillars in Mainstreaming URL in a NUP Process

The UN-Habitat NUP process is based on three key pillars: **participation, capacity development and acupuncture projects. The use and implementation of these pillars does not occur at one particular stage in the policy process, but must be considered throughout. Consideration for participation, capacity development, and acupuncture projects should occur at all stages of developing a NUP, and will contribute to the overall sustainability and effectiveness of the policy.**

### 2.1.1. Participation

**Measures should be put in place to ensure that all the relevant stakeholders in urban, peri-urban and rural areas are involved in the mainstreaming process of URL in policy**

UN-Habitat advocates for a participatory approach throughout the NUP process -- in all phases. It is however very key that all relevant stakeholders such as different levels of government authorities, civil society organizations, private sector, communities (including vulnerable populations) or academia relevant to the specific URL challenge and opportunities in a country/region are involved. This URL-NUP guide specifically emphasizes the participation of all these stakeholders in rural, urban and peri-urban areas. Public participation entails direct engagement of the public in decision making and taking full consideration of public input in making decisions to ensure that their needs are reflected in policy. It is not a single event but a process consisting of a series of activities and actions with the public over the full life-span of a project - to not only inform (through public outreach) but also to obtain input and partner with them (through public partnership). These activities could include: consultative meetings, questionnaires, interviews, gazette notices, training and capacity development and partnership building.

The contributions by stakeholders could be in tapping their skills, knowledge, information or financial support in cases of private-public partnerships.

Often participatory approaches that equalize dynamic exchange between urban, peri-urban and rural actors create a sense of ownership and control among those involved which is important for strengthening urban-rural linkages. Participation should also generate new and concrete ideas since different views will be captured. Box 7 contains examples of countries that have incorporated participation in their urban policies. However, apart from ensuring that participation is included in the policy initiatives, the URL mainstreaming process should be highly participatory in all phases. A checklist has been developed (see Appendix 2) to cross check if participation in the mainstreaming process of URL in NUP is comprehensive. It checks the level, nature and extent of engagement of the various stakeholders ensuring all are incorporated.

## Mainstreaming Inclusive Practice: The case of Ghana

Ghana's NUP was launched in March 2013 after four years of context analysis, workshops, and local and international consultation. The policy aims broadly to promote sustainable urban development with a focus on housing, basic services and improving institutional efficiency. The policy has a five year Action Plan which is being led by the Urban Development Unit within the Department of Local Government and Rural Development.

One of the unique features of the Ghanaian NUP is its approach to informal sector businesses and settlements. The NUP aims to "change the official attitude towards informal enterprises from neglect to recognition and policy support". The policy, therefore, is working to change the more traditional mindset that sees the informal sectors as both illegal and undesirable. Mainstreaming an inclusive approach into the NUP and attempting to change mindsets through the policy can allow for broader systems change. An inclusive approach can also facilitate a more participatory NUP by considering for populations, such as those within the informal sector, that are traditionally can be excluded can be excluded from the policy process.

Source: National Urban Policy: The Guiding Framework pp15

### Box 7. NUP Excerpts

#### National Urbanization Policy Malaysia, 2006, page 66

Local authorities need to cooperate closely with the local community, non-governmental organizations and the private sector to plan and implement appropriate urban planning and management programmes that meet with their requirements for sustainable development as mooted in the Local Agenda 21.

**Rwanda National Urbanization policy, 2015, page 23A** shared vision and prioritization of implementation tasks must be established in a participatory manner involving the public and private sectors and civil society.

## 2.1.2. Capacity development

### Mechanisms to develop the capacities of the relevant stakeholders in URL should be prioritized

In the process of mainstreaming URLs in policy, it would be key to ensure that not only are the right policy incentives set but the appropriate capacities for implementation are available. The NUP process seeks to ensure that in every phase the capacities are key not only for policy development but also for implementation, monitoring and evaluation. This is also key in the mainstreaming process to ensuring that the human, financial, institutional and technical

capacities for addressing the context URL challenges are available. This should be comprehensive and inclusive of stakeholders in the urban, peri-urban and rural areas.

Strategies for the development of human capacities include training on URL issues at hand to increase understanding and also developing skills particular to URLs.



This may include hiring appropriate personnel if currently unavailable or additional training for those already employed. Financial capacities would include mechanisms to provide adequate finances for the URL issues identified through, for example, partnerships with private sector, cutting of costs in other sectors, raising additional taxes or rates by governments, seeking donor funding among other approaches. Institutional capacities include the number of personnel, office space, level of infrastructure available among others.

Technical capacities include the URL data available and ability to collect, store and use, the levels of technology needed for the work, the appropriate technical expertise, etc. Some countries have captured capacity development even in policy (see Box 8). To assist URL policy mainstreaming processes in the areas of capacity development, a checklist has been provided in Appendix 2. This checklist helps ensure that capacity needs and gaps are identified and the capacity development strategies are then developed and executed.

### **Putting Capacity Development at the Core of Urban Development: The Case of Cambodia**

Prior to the development and Implementation of a NUP, the Cambodian Government embarked on a national project of capacity development and technical training of sub-national government officials. The project, launched in 2013, was led by the launch of a project document, Capacity Development for Urban Management Project.

The project preceded and was in conjunction with the launch of the Cambodian Rectangular Strategy Phase III 2014-2018. The strategy set urbanization and urban development as a national priority and put capacity development and technical training at the forefront. Implementing a capacity development and training programme prior to the Rectangular Strategy Phase III aimed to prepared regional and local governments for increased level of responsibility due to the devolution of governance and financial power proposed in the strategy. By aiming to strengthen institutions and institutional connectivity prior to the implementation of the strategy, the Cambodian Government's approach is a useful example of how to prepare for the practical considerations of implementing of the strategy prior to its development.

Source: National Urban Policy: The Guiding Framework pp16

#### **Box 8. NUP Excerpts**

##### **NUP Excerpt: Ghana NUP, 2006**

*In strengthening urban governance there is a need to probe and strengthen the institutional framework at the local level for effective coordination of urban development in the light of the provisions of Act 462 and its subsidiary legislation and Strengthen institutional arrangements and measures to ensure efficient implementation of the NUP at the local level*

The policy recommends that the institution capacity improvement to allow for the implementation of the same.

### 2.1.3. Acupuncture projects

#### **The URL Policy initiatives should consider acupuncture projects**

This entails an opportunity for policy to be made up to date by having quick win projects and programmes for urban, peri-urban and rural areas. This helps in strengthening the NUP itself as a tool for urban development but also helps to avoid possible failures. The URL policy initiatives should ensure that the activities in the action plan have both short, medium and long-term projects. Short term projects should be easy to implement in terms of the skills and the human and financial resources required. It should be clear who are the persons responsible for the project, the estimated budget and other specific aspects of

the project. There should be clear indicators to allow for a feedback loop, especially to link the short term project results to the medium and long term projects. This should allow for revision and adjustments to the URL policy initiatives through lessons learned in the short and medium terms. In help identify acupuncture projects in the URL mainstreaming policy process see Appendix 2 for the aspects that need to be to cross-checked. This includes the quick win projects identified, the specific resources required, the timelines, the implementation outcome and lessons learned.



# 3

## WHAT TO MAINSTREAM IN NUPs

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# 3

## RECOMMENDATIONS FOR MAINSTREAMING URLS IN NUPS

The recommendations for policy are in line with the UN-Habitat Framework for Action (FfA) of the Urban-Rural Linkages Guiding Principles (URL-GP). This part provides recommendations based on the FfA for what policymakers may consider in mainstreaming URLs in policy. The recommendations

are meant as an inspiration and to provides references to be adapted to country specific URL priorities and local contexts. This means that locally grounded interventions (Guiding Principle 1) should be the foundation for recommendations in the NUP process.

### Recommendation 1

#### **Encourage governance, legislation and capacity development across administrative boundaries**

NUP ought to strengthen governance mechanisms incorporating the urban-rural nexus in multi-sectoral, multi-level and multi-stakeholder approaches to foster conditions for local governments to realize integrated territorial development. Policy should also ensure a continuous knowledge exchange, dialogue and capacity development on processes and approaches to strengthen urban-rural linkages that in turn drive sustainable and inclusive growth between stakeholders from government, civil society, academia, and the private sector. A focus on inclusive governance mechanisms to review institutional mandates and policies (e.g. rural dimensions in urban policies and urban dimensions in rural policies), including coherence between national, regional and local norms and decisions, is key in governance-related policy. The policy should also include executive and/or legislative initiatives, regulations, procedures and interventions at a

territorial level which, if needed, revise governance structures that have previously led to unproductive administrative separation and/or parallel competencies found in both urban and territorial authorities. NUP should support the inclusion of affected urban and rural populations including youth, urban unemployed and informal workers, farmers and women's organizations in planning, decision making and in design of governance platforms and programs to promote holistic understanding of issues, participatory governance, and to increase accountability and ensuring ownership of processes and solutions by urban and rural communities. There should also be a focus on raising awareness and the capacity of the local planning units on the benefits, dimensions and dynamics of urban and rural linkages through the association of professional planners and planning departments across levels of governance. See Box 9 an example from the Malaysian NUP.

**Box 9. National Urban Policy excerpts**

Malaysia National Urban Policy: 2006, Page 66

Local authorities need to cooperate closely with the local community, non-governmental organizations and the private sector to plan and implement appropriate urban planning and management programs that meet with their requirements for sustainable development as noted in the Local Agenda 21.

**Recommendation 2****Advocate for integrated urban and territorial development**

Rapid urbanization in various parts of the world requires preparedness through integrated urban and territorial planning<sup>13</sup>. Failure to do this may result in high poverty levels, expanding slums, increase the urban-rural gap and have negative health and increased environmental risk including to the effects of climate change. By contrast, integrated urban and territorial planning can result in greater food security and improved nutrition in both rural and urban areas, enhanced spatial flows of people, products and information, upgrading of slums, narrowing of the urban-rural gap, climate change resilience, better public health and environmental protection among other benefits. There is therefore the opportunity to strengthen development opportunities through territorial planning and development strategies and tools to ensure that both urban and rural areas function to their optimum potential. NUPs ought to first ensure that urban and rural development are not considered separately, but in an integrated manner, across administrative boundaries and sectors (enhancing the cooperation and communication between different government departments and/or ministries). This should be through reviewing, adapting and using locally relevant legal instruments and planning methods to develop people- and place-

based development plans. All scales of urban and rural settlements should be considered for territorial, functional and ecosystem-based interconnectivity.

An integrated approach enhances the provision of services, infrastructure and amenities which ensure inclusivity of opportunities for both rural and urban dwellers. An integrated development approach can also address environmental protection, food security, reduction of poverty and inequality. Government planning authorities and units from all levels and sectors should be brought together in planning for URLs. Special attention is needed to support the financial, human and institutional capacities of small and intermediate cities. Through working together, these planning authorities should define a vision and develop action plans for sustainable economic, social and environmental development that integrate the needs of different levels of planning. Regional planning should include the whole urban-rural continuum from the village level to larger towns and cities. This is key since when connectivity is enhanced the economic urban-rural gap is bridged. It limits the gaps between the small and mega cities promoting decentralization of services including government departments not being located in only mega cities. Incorporating rural activities in the city and vice-versa is a final strategy in integrated urban and rural development.

13 UN Habitat; 2015, *International Guidelines on Urban and Territorial Planning*; <https://unhabitat.org/books/international-guidelines-on-urban-and-territorial-planning/>

This includes activities such as urban agriculture and rural manufacturing. Urban agriculture, for example, reduces food miles by contributing to urban areas being able to feed themselves. Rural manufacturing ensures maximum profits for food producers by

reducing the middle men, thus reducing rural to urban migration and contributing to the inclusive development of rural and urban areas. Box 10 shows an example of Bangladesh and Uganda that incorporated this in NUP.

**Box 10. National Urban Policy Excerpts**

**Bangladesh National Urban Policy, 2011, page 16**

Regional development planning should be pursued in order to develop a coordinated system of human settlements, from the small village as unit of production, to the intermediate communities and regional centres as units of production and distribution of goods and services, to the large city - as the centre of the national economy and administrative system.

**Uganda National Urban Policy, 2014, page 29**

Plan, organize and coordinate urban agricultural activities; and Commission research into the viability of urban agriculture to ensure it does not disrupt development.

**Recommendation 3**

**Promote inclusive finance and investment for development in both urban and rural areas**

Rural areas are lagging in terms of development as more and more investment by governments are directed primarily to urban areas for example for physical and social infrastructure, basic services, recreation facilities, public spaces, investments in housing, manufacturing industries, etc.<sup>14</sup> These investments create employment opportunities, improve livelihoods, and reduce poverty levels among other benefits. NUP should lay down systems to ensure that as the government invests in infrastructure for basic services, recreation facilities, public spaces, housing, and industries, peri-urban and rural areas and small and intermediate towns

are not left out. This therefore calls for more than a sectoral approach, but rather, a regionally or territorially-based investment approach by national government to implement NUPs and make budget allocations. Beyond physical and social infrastructure, a regional approach should also include fiscal support for activities in peri-urban and rural areas and small and intermediate towns that have high potential for agricultural production and processing.

NUPs should also ensure adaptation of financial mechanisms for payment of environment services (PES) at all national and subnational levels. Such financial support should be accessible to primary actors who manage ecosystem functions such as women and smallholder family farmers, livestock

14 Allain-Dupré, D. (2011), "Multi-level Governance of Public Investment: Lessons from the Crisis", OECD Regional Development Working Papers, 2011/05, OECD Publishing. <http://dx.doi.org/10.1787/5kg87n3bp6jb-en>

producers and forest managers. Public budgets at the territorial and local levels should to new territorial policies integrating economic and environmental management activities, among other sectoral activities. There should also be measures to improve public and private finance instruments to address credit and finance barriers in both urban and

rural areas; see Box 11 an example of rural finance and financial inclusion in rural India for smallholder famers, women and poorer households. Such initiatives promote rural development reducing rural-urban migration but also overdependency on urban areas for major basic services and social amenities.

### Box 11. Promoting rural finance and financial inclusion in Rural India

Source: GIZ-NABARD Rural Financial Institutions Programme, Annual Report 2013/2014

Through the Rural Financial Institutions Programme implemented between 2009-2015; rural financial institutions offered demand-oriented financial services for smallholder famers, women and poorer households. This was implemented through National Bank for Agriculture and Rural Development (NABARD) also known as Financial Inclusion Department, which offered funds used for training, technological innovation and other programme activities reaching the rural poor. The impact has been realized through two major vehicles: growth in the rural cooperative system and microfinance through self-help groups and financial inclusion.

**Rural Cooperative credit system:** Since 2008 the rural cooperative credit system, which consists of 92,000 institutions with 120 million members, has been able to improve its performance by standardizing its systems for accounting, auditing, training and counselling. One particular success has been the creation of a national institute with 4,360 institutional members currently, and which now controls the quality of training in the sector and certifies the professional competences of employees. By establishing advisory units in cooperative banks (114 to date), the programme has helped to improve business development in many of the primary cooperatives. The proportion of cooperative banks achieving a rating of at least 'sufficiently sound' has increased from 66 to 97%. Many cooperatives have increased the range of services for their members. The value of loans disbursed has doubled and the share of member borrowing has increased from 37 to 45%.

**Microfinance through self-help groups and financial inclusion:** Since 2008 the number of members of self-help groups holding deposits in banks has increased from 50 to 90 million. 82% of the members are women and 56% of the groups have outstanding bank loans. The range and quality of banking services for self-help groups has been improved through the development of demand-oriented products and the employment of their members as banking agents at village level. On behalf of two banks, about 70 women now provide banking services to 18,600 clients in 286 villages. New technologies enable the women to provide previously unavailable services such as money transfers. Nine additional banks plan to replicate this approach in the future. Membership in self-help groups and their role as bank intermediaries strengthens the position of women in households and village communities. Studies show that 92% of the women feel empowered by joining a self-help group. Meanwhile, 70% of the group members are satisfied with the banking services, 25% of them have increased their incomes, and the expenditure on education and health has increased by 34%.



## Recommendation 4

### Empower people and communities in urban and rural areas

NUP should foster partnerships, alliances and networks that link urban and rural actors and different sectors (see Box 12). This should include synergies across urban and rural actors and harness capacities and skills across a wide range of stakeholders, such as government authorities, civil society, private sector and academic institutions. It should be done through participatory processes for full engagement of local institutions, communities and people including the marginalized/vulnerable people groups. These participatory processes should entail empowering women, indigenous people, children, slum dwellers, migrants and all those at risk of being left behind after participatory analysis identifies participation gaps.

These interactions can be enhanced also through improved transportation networks linking rural and urban areas including communication, electricity and ICT networks among other means of allowing for mutual interaction. Promoting local administration for cooperation between rural and urban authorities is another aspect of urban-rural partnerships that urban policies should consider through joint initiatives, programs and projects. This could include for example, trainings of farmers by agricultural departments of local governments in both urban and rural areas to showcase innovations in food processing and marketing.

#### Box 12. Estonia Regional Development Strategy 2014-2020

One of the objectives of the NUP in Estonia referred to as the **Regional Development Strategy 2014-2020** is to strengthen regional links and capacity development. Activities to achieve this strategy include projects such as: transportation links between county centers/small towns and across borders, municipal ICT infrastructure and E-services. Other activities include capacity development of municipalities and regional authorities, NGOs providing services or representing communities, cooperation among municipalities, regional impact assessment of sectoral policies on contributions to regional development goals and rural community involvement in development initiatives.

From a survey conducted in 2013, **Estonia, had urban-rural cooperation** which consisted of joint provision of public services especially in areas such as waste management, education, transport, social services and healthcare. Local authorities cooperated in drawing-up development plans and organizing cultural events. Many small local government units buy public services from neighbouring municipalities. This type of co-operation is usually carried out on a contractual basis. For example, five municipalities in Ida-Virumaa collectively established a service for monitoring public purchasing orders at municipal level. This is an example of a success story contributing to the NUP process. In other cases, it is normally the NUP that leads to success stories. If success stories regarding urban-rural partnership do not exist or exist, strategies can ensure that such partnerships or co-operations are included in policy.

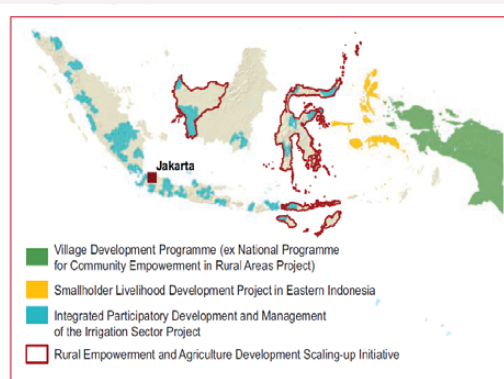
Communities in both urban and rural areas (see Box 13) should be empowered; without excluding vulnerable actors. Urbanization in mostly developing countries has resulted to situations whereby rural areas are increasingly lagging in terms of development. These inequities have deepened between the larger cities that are densely populated and the village centers or smaller cities as more people move to or work in urban areas. Policies should seek to provide for support to undeserved communities both in urban and rural areas creating

opportunities to the urban and rural poor while improving access to better health and education. Policies should build frameworks and institutional arrangements that allow the flow of investments, knowledge and skills necessary to address disparities between urban and rural people and territories. Policies should also propose partnerships to specifically address imbalances between urban and rural actors. Participation should also be encouraged in policy formulation, monitoring and evaluation by communities in both urban and rural areas.

### Box 13. Indonesia: Empowering Rural Communities

- Provide trainings to people living in rural areas, to prepare them better for the jobs they seek when migrating to an urban area or improve their productivity; these trainings include computer skills, sports, life skills and other capacity development skills; these trainings are inclusive of all gender and age groups.
- Invest in productive rural infrastructure.
- Strengthen local institutions.
- Indonesia Village 2014 Law implementation which aims to promote greater participation of rural people in development processes, introduce more effective poverty reduction interventions and support improved local governance.

Source: IFAD (2018) International Fund for Agricultural Development; Investing in rural people



Ongoing projects in Indonesia empowering rural communities

## Recommendation 5

### Provide structures for knowledge and data management for spatial flows of people, products, services, resources and information

Data plays a major role in decision making whether for urban or rural areas. There are constant and recurring flows of people, products, services and information between urban and rural areas. It is therefore critical to have data concerning these flows that is disaggregated by territory, identity, age, and gender among other factors. Good data will help determine whether these flows minimize disparities between urban and rural territories. Some infrastructure that rely heavily on data promotes more effective flows of people, products, services and information such as transport and ICT infrastructure. Policies should advocate for adequate capacity building of local and national governments to collect, use and store spatially disaggregated data. This data should be made available to use for participatory planning and policy decisions. Policies should direct decision-making institutions to utilize

spatially disaggregated data. Policy should also promote modernized information technologies such as GPS and GIS for data management. Mapping of spatial flows of people is essential. Rural to urban migration is a primary driver of urbanization rates globally, though not the only cause of urban growth, and daily or seasonal mobility is also a dynamic aspect of urban-rural relations<sup>15</sup>. Data is needed for both migration and mobility in terms of extent and causes, in order for policy to have an evidence base to achieve intended results. Box 14 shows a policy initiative in Bhutan policy towards managing movement of people through developing growth centers to accommodate people. This is to reduce pressure on urban areas and ensure manageable rural and urban areas.

.....  
15 UNDESA 2018, World urbanization prospects; <https://www.un.org/development/desa/publications/2018-revision-of-world-urbanization-prospects.html>

#### Box 14. National Urban Policy Excerpts

##### Bhutan National Urbanization Strategy; 2008, page 73-74

Preparation of a growth centre strategy that identifies migration alternatives (for the cities that are fast growing); the growth centers must have adequate physical space to accommodate the population, have a stable economic base, not impact negatively on the environment, have physical and social infrastructure and be a center for decentralized governance.

## Recommendation 6

### Guidance on ways to promote territorial development and employment including building the capacity of small and intermediate cities

Most of the population in low- and middle-income nations live in small and intermediate urban centres<sup>16</sup> or depend on them for access to goods and services.

.....  
16 United Nations, 2016, The World cities 2016

The fact that most secondary schools, higher-education institutions, hospitals and government offices are located in urban areas does not necessarily imply an “urban bias”.

However the location of health and education services may contribute to the urban-rural development and service provision gap. Similarly, there is no “urban bias” when local government offices with jurisdiction over rural districts have “urban” locations (even in small and intermediate cities), unless this removes them from the influence of rural populations. The small and intermediate centers should serve the rural populations and thus should be supported

to provide services and amenities for them. NUPs should promote the development of these towns through provision of services and infrastructure, support market centers for agricultural production or planned areas for agro-processing and employment. NUPs should also support the building up of local capacity in small and intermediate cities to manage financial resources, collect revenue for adequate service provision and improve urban management.

### Box 15. National Urban Policy Excerpts

#### Germany National Urban Development Policy, 2007, page 14

“.....strengthen small and medium-sized towns as business, social and cultural centers and to allow them to function as hubs, **supplying services** for the public in the future.”

#### Bangladesh National Urban Policy; 2011, page 18

Small and medium-sized urban centers can be integrated with rural areas by providing transportation facilities which will give rural people access to such higher level facilities as hospitals, higher educational institutions, government offices, markets for rural products etc.

## Recommendation 7

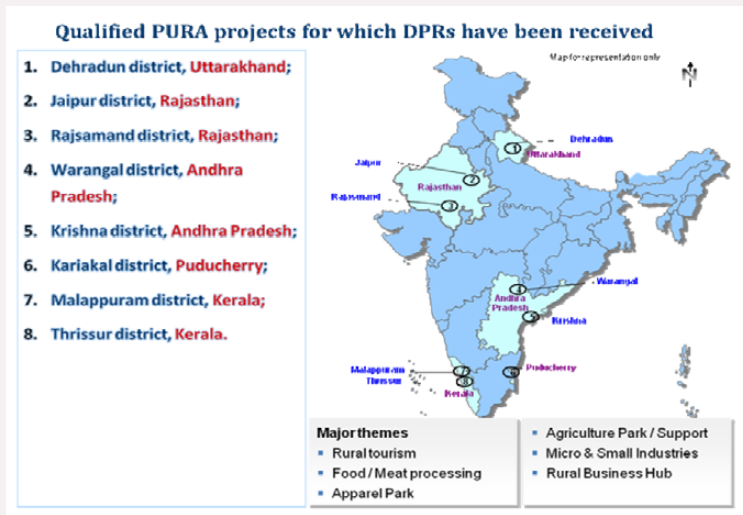
### Set strategies and institutions to ensure coherent approaches to the provision of social services

Rural areas are in most cases left behind in development and especially in the provision of amenities and services. This leaves populations in rural areas without access to such amenities as education, health, markets and recreational facilities. When policies promote urban-rural linkages to deliver socially and spatially equitable services, these services can improve the outreach to the entire population in an urban-rural context. Policy could also promote public/private/community partnerships with governments in delivery of these services. Encouraging planning of services that coordinate

among mandates and actions at all government levels is vital. This should lead to comprehensive service provision for all in urban and rural areas. Policy should provide for context-based standards and regulations of the provision of services based on size and population but also proximity. Rural areas generally have less population within a given area and thus less density compared to urban areas. This can translate into amenities such as health care and education facilities being very far from the rural households, impacting access, costs and characteristics of flows across the urban-rural continuum.

**Box 16. PURA Scheme (provision of Urban Amenities in Rural Areas) India**

India has devised a scheme for investing in urban amenities for rural livelihood opportunities in rural areas to bridge the rural-urban divide, thereby reducing migration from rural to urban areas. The lack of livelihood opportunities, modern amenities, and services necessary for decent living in rural areas results in a sense of deprivation and dissatisfaction amongst a large percentage of population and leads to migration of people to urban areas. This is primarily due to large differences in availability of physical and social infrastructure in rural and urban areas. The PURA Scheme (Provision of Urban Amenities in Rural Areas) envisages rapid growth of rural India -- given enhanced connectivity and infrastructure, the rural population would be empowered and enabled to create opportunities and livelihoods for themselves on a sustainable and growing basis.



**Recommendation 8**

**Provide supporting infrastructure and other means to promote urban-rural connectivity.**

Urban and rural areas have a symbiotic relationship; they rely on each other for goods and services which flow between the two areas. Rural areas are primarily providing food, natural resources such as water, environmental health benefits and labor among other services to urban areas<sup>17</sup> whereas the urban areas provide services, information, innovation, employment opportunities and other amenities<sup>18</sup>. NUPs should seek to enhance this dynamic

relationship by providing infrastructure for the movement of the products, services, information and people at all scales of human settlement. This infrastructure includes: transportation for the movement of products and people, information and communication technologies (ICT), telecommunication and electrification infrastructure. Projects for infrastructure development in urban and rural areas through integrated urban and territorial planning can help ensure that the resources required are adequately allocated for implementation of planning through policy.

17 [http://habitat3.org/wp-content/uploads/Habitat-III-Issue-Paper-10\\_Urban-Rural-Linkages-2.0.pdf](http://habitat3.org/wp-content/uploads/Habitat-III-Issue-Paper-10_Urban-Rural-Linkages-2.0.pdf)

18 <https://www.iied.org/rural-urban-linkages>

From a rural perspective, infrastructural linkages with urban areas promote rural productivity due to the improved flows of information and expertise on new methods or innovations, new crops, market information, flows of farm inputs such as seeds, nutrients, farm equipment, etc. Rural productivity requires improved sustainable agricultural production and agro-processing and creates job opportunities for the rural households that can deter out-migration.

Transport infrastructure increases access to employment in urban areas and increases mobility between urban, peri-urban and rural areas. Improved transport infrastructure also improves the availability of goods in rural areas, enhances the social connections between urban and rural, allows farmers to get farm inputs and farm produce to and from markets, etc. Box 17 is a representation of countries that have included infrastructure in policy.

### Box 17. National Urban Policy Excerpts

#### Bangladesh National Urban Policy excerpt; 2011, page 18

**Adequate investment in infrastructure**, particularly **transport, electricity and telecommunication** networks for linking **urban and rural areas**, will be ensured to improve rural productivity and provide better access to markets, jobs and public services.

#### Philippines National Urban Policy extract, 2011; page 67

Recognize and enhance rural-urban linkages of poverty alleviation to improve labor mobility and **increase the sharing of market information** among rural producers and urban consumers by:

- Increasing **physical, telecommunication, and business linkages with rural areas**.
- Expanding and **intensifying internet connections with rural areas**.

## Recommendation 9

### Promote food and nutrition security and public health in both urban and rural areas

Urbanization impacts on the food and nutrition security in many ways. Demand for food increases and the food preferences are shifting towards processed foods, dairy and animal products in developing countries<sup>19</sup>. Food and nutrition security is also affected by the fact that urbanization leads to land use conversion of former agricultural land or potentially farmable land to urban land uses. It is worse for low income groups where people

19 Global Panel. 2017. Urban diets and nutrition: Trends, challenges and opportunities for policy action. Policy Brief No. 9. London, UK: Global Panel on Agriculture and Food Systems for Nutrition.

spend more than half of their income on food; this is affecting middle-income households since food is relatively expensive in urban areas in some developing countries. Food safety is also compromised due to unsafe urban and peri-urban agricultural practices to meet the urban food demands<sup>20</sup>. The problem of urbanization without adequate planning results in inadequate services in food markets with risks of food contamination especially in developing countries.

20 [http://www.fao.org/ag/agn/nutrition/national\\_urbanization\\_en.stm](http://www.fao.org/ag/agn/nutrition/national_urbanization_en.stm)

Inadequate planning may also result in lack of or inadequate markets causing the residents to have less physical access to food. Food and nutrition security is a key factor to be considered and ought to be addressed in NUPs, not just at the production level **but all the stages in the food system** to ensure sustainability of the future towns and urbanization.

Food nutrition varies from region to region; however, NUP should **promote healthy and nutritious access to food** in both urban and rural areas. This could include sensitization through media on the benefits of nutritious foods. The **relevant agencies should also be assigned the role of extension and advisory services and investments to smallholders (in the food system)** for sustainable, profitable and locally produced and marketed nutritious foods. Rural farmers and agencies supporting them should be introduced to producing healthy and indigenous foods to supply

urban markets. Institutions such as hospitals and schools among others could be utilized as a lever to implement sustainable healthy diets with impact and scale in urban-rural territories. Policy interventions related to health impacts of highly processed low nutrient density foods as a cost-effective strategy for reduction of non-communicable diseases should be instituted. NUPs should also adapt action frameworks such as those developed by city networks, national governments, UN agencies and other partners to learn from and **apply innovations to strengthen urban and territorial food systems** (for example the Milan Urban Food Policy Pact), addressing the importance of secure land tenure for rural and urban small holders. Box 18 represents a few of the many countries that address food in their policies; however more on this subject can be found in the **UN-Habitat publication on Integrating Sustainable Food systems and improved nutrition in National Urban Policies**.

**Box 18. National Urban Policy Excerpts**

**Nepal National Urban Development Strategy, 2015, page 30&40**

Build incentives for preserving critical agricultural land; the policy discourages non-agricultural activities in fertile agricultural land.

**Pakistan vision 2025, 2014, page 65**

Ensure that the entire supply-chain related to food security is geared towards provision of stable and affordable access to adequate, nutritious and safe food for a healthy life.

**Recommendation 10**

**Devise ways of reducing the environmental impacts in the urban-rural convergences caused by uncontrolled and unplanned urban developments**

Urban areas are major consumers of the world’s energy and the majority emissions of greenhouse gases<sup>21</sup> are from urban areas<sup>22</sup>.

High rates of urbanization require adequate planning and capacities of urban planners which is not the case in most developing countries. This results in spatial inequality within and between urban and rural areas, inadequate, unaffordable or inaccessible housing,

21 UN Habitat; 2011, *Cities and Climate Change: Global Report on Human Settlements*

22 <https://unhabitat.org/urban-themes/energy/>

traffic congestion, overpopulation, unplanned developments, inefficient or inadequate urban (basic) services, among many other challenges. These all result in air, water, noise pollution which impact the environment and the health of people negatively. The results of these environmental impacts increases the risk of natural disasters which mainly affect the urban poor living in informal settlements and the rural poor who live in informal settlements with inadequate services provision. Inadequate urban service provision such as water or waste management contributes heavily to pollution of natural resources as air, water and soil among others. In the continuum of space this strongly impacts peri-urban and rural areas including agricultural production. This means that the environmental impacts of urbanization cannot be ignored since they affect both the rural and urban areas and should be incorporated in a country's NUP.

The NUPs need to clearly point out strategies for conservation and sustainable use of natural resources in especially the rural areas. This is supported by the fact that urban areas depend on the natural resources

in rural areas for water, electricity, food, tourism among others. **Strengthening the use of systems approach and circular economy frameworks**<sup>23</sup> to link and prioritize interventions that integrate resilience to climate change, promote biodiversity and protect ecosystems functions and natural resources should be found in policy. **Mitigation of urban sprawl risks** should be addressed in NUP also to ensure that the negative impacts of sprawl can be dealt with without causing disaster. **Transparent and exhaustive decision-making processes for investments with social and environmental impact** for both urban and rural areas are key for policy interventions. Some countries have addressed the need for sustainable development to curb negative environmental impacts and climate change impacts in NUPs while enhancing adaptation and mitigation mechanisms against natural disasters; See Box 19. The policy incentives in the respective NUPs should always be followed up with specific action oriented interventions and activities.

.....  
23 Circular approaches and systems approach entails.....

**Box 19. National Urban Policy Excerpts**

**Austria Spatial Development Concept excerpt, 2011, page 20**

“... to examine spatial development measures in general as to their impact on the climate and adjust them if necessary. **Energy-saving settlement development** should be promoted that contributes to the avoidance of motorized individual passenger traffic and the adaptation to climate change (compact and functional mixed settlements, energy-saving construction, areas for flood protection, flood retention and outflows, but also green areas and biotopes close to residential areas to improve the local climate).”

**Rwanda National Urbanization Policy, 2015, page 39**

“Mitigate the risks of urban sprawl, resources depletion and other negative environmental impacts at the urban peripheries”



## Recommendation 11

### Integrate approaches to disaster preparedness and management throughout the urban-rural continuum

Disasters result in displacement or destabilization of communities. This requires policy to address how these displaced persons, especially women and children who are most affected, can be assisted. Disasters can be either natural or man-made. Both should be assessed and mitigated against to promote preparedness and response to economic, food security, environmental and communicable diseases outbreaks and hazards in both urban and rural areas. Uncontrolled urbanization is one of the causes of either man-made or natural disasters. Man-made disasters exacerbated by land use conflicts at the urban periphery and natural disasters such as flooding can be severely worsened by urban sprawl. Land use conflicts emerge when urban land uses activities begin to mushroom in peri urban land uses and become incompatible with one another.

NUP should set mechanisms and participatory approaches to reconcile differences between the host and refugees/displaced persons' interests in the urban-rural continuum. This includes approaches for integrating displaced persons through setting aside land in urban and territorial planning and creating collaborative reserve budget allocations between

local and national governments for such disaster-related occurrences. These should be provided for in policy. Collaborative urban-rural strategies to mitigate or respond to crisis includes tools such as 1) **risk pooling and transfer instruments**, 2) **leveraged cash transfers for refugees and host communities in conflict resolutions**, 3) **food security assessment and monitoring tools** and 4) **gender focused interventions** among others promoted in NUPs. There could also be strategies to create opportunities of employment, education and ensuring service delivery for new immigrants, See Box 20. In cases where there exists specific policy for conflict and disaster; the recommendation still applies to ensuring action-oriented policy proposals. The policy objective in Box 20 in the Philippines NUDF, should be followed up with an action plan for incentives and programs supporting new immigrants. If this is well implemented, then the conflicts between the host and the displaced persons may be minimized. This is justified because the cause of conflict from the increased burden on and competition for resources may be minimized since there exists a plan beforehand for the new migrants.

#### **Box 20. National Urban Policy Excerpt: Philippines National Urban Housing and Development Framework (NUDF); 2010, page 67**

Encourage and give incentives to programs that assist in-migrants in terms of employment, education, and service delivery opportunities.

#### **The National Policy for Disaster preparedness and Management; Uganda, 2010**

The policy highlights 12 guiding principles for disaster prevention and management. The policy also indicates the major disaster types in Uganda with policy actions and responsible institutions. For example, for drought some policy actions include: i) Establish proper mechanisms for weather prediction,

early warning and drought information dissemination ii) Enforce implementation and compliance to environmental regulations and laws. Iii) Integrate environmental conservation in national development planning. Iv) Map zones for drought prone areas and agriculturally viable areas. V) Strengthen research institutions for development of drought resistant crops and livestock. Vi) Prioritize programmes for small scale irrigation/water for production. Other general strategies in policy include: effective use of media and communication mechanisms, risk assessment, early warning, physical planning, integrating disaster preparedness in schools and international cooperation, among others.

## Conclusion

At the heart of the Sustainable Development Goals (SDGs) is a commitment to leave no one behind. From this lens the New Urban Agenda and the SDG 11.a.1 both promote the need for integrated urban and territorial planning approaches to development, leaving no space and no person behind. Other global normative documents that stress the importance of rural dimension of human settlements include: Vancouver action plan for the 1976 Habitat Agenda, Resolution HS/GC/17/10, Resolution HS/GC/24/3 and RIO+20 outcome document, The Future We Want. Urban-rural interdependence has been appreciated as a key component that needs to be incorporated in policy, plans and strategies. National Urban Policies were selected as the indicator for the implementation of the New Urban Agenda and the sustainable development goal 11.a.1. This guide addresses the need to strengthen NUPs with a specific focus on integrated territorial development. This guide also seeks to implement the Urban-Rural Guiding Principles (URL-GP) in specifically policy frameworks for NUPs.

The guide suggests a methodology for application depending on the phase of a given NUP process, whether in the development process or in a completed NUP document that is being implemented.

There is a checklist in the following section for each NUP phase to help ensure that nothing is left out in order to complete the NUP. After review of a completed NUP document, the gaps should be addressed by going back to the feasibility phase of the NUP. This is clearly an iterative process for incorporating URLs in NUPs. Importantly, the outcome for the formulation phase should be referred to during the implementation and monitoring and evaluation phases as a specific URL-related policy proposal and action plan.

The guide is comprised of 11 interrelated recommendations that are based on the 11 sections of the URL Framework for Action of the URL Guiding Principles (URL-GP). The recommendations cover URL fields of action which are: governance, legislation, and capacity development, integrated planning across the urban-rural continuum, investment and finance for inclusive urban-rural development, empower people and communities, knowledge and data management for dynamic spatial flows, territorial economic development and employment, coherent approaches to social services and provision, infrastructure and communications, integrated approaches for food security, public health and nutrition, environment impact and natural resource and land management and conflict and disaster.

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**National Urban Policy Resources**

1. Bangladesh National Urban Policy, 2011
2. Philippines National Urban Housing and Development Framework, 2010
3. Austria Spatial Development Concept, 2011
4. Rwanda National Urbanization Policy, 2015
5. Bhutan National Urbanization Strategy, 2008
6. Serbia Spatial Plan, 2002
7. Uganda National Urban Policy, 2014
8. Germany National Urban Development Policy, 2007
9. Ethiopia Urban Development Policy, 2005
10. El Salvador plan Nacional De Ordenamiento Y Desarrollo Territorial, 2001
11. Pakistan Vision 2025, 2014
12. Nepal National Urban Development Strategy, 2015
13. Japan National Spatial Strategy, 2015
14. Malaysia National Urban Policy, 2006
15. Ghana National Development Policy, 2012

# Appendices

Appendix one, two and three are comprised of rating at a range of one to three; 1. No, 2. Partly 3. Yes. The three responses are all towards contributing to the scoring towards defining the level of compliance. For example, the lower scores mean low levels of compliance and vice versa. Therefore, the total score will be out of the total number of questions multiplied by the highest score (for example feasibility phase in appendix one having six questions the maximum score is 30). The user will select the responses based on the extent to which the various activities

have been achieved. If nothing has been done the selected responses will be 1. No, if there has been progress but not completed the response will be 2. Partly and finally if the said activities have been completed the response to be selected will be 3. Yes. So for example feasibility phase has six questions; so since the maximum score is three for each question, the maximum score for feasibility phase is eighteen (18). The higher the score the better the case as most activities are already implemented.

## Appendix 1: Checklist for Mainstreaming URL in NUP process

Phases of NUP	Overall Checklist for NUP Process	Score
<b>Feasibility phase</b>	Have the key URL challenges and opportunities been defined for the region/country? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
	Have the key URL opportunities been defined for the region/country? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
	Have all the relevant stakeholders for the defined URL priorities been mapped 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
	Have the roles of the stakeholders been defined? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
	Have the existing urban related policies/strategies/frameworks been analyzed in the context of URL challenges? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
	Have policy gaps been identified? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
	<b>Total Score</b>	<b>/18</b>

<b>Diagnostic phase</b>	<p>Have preliminary research about the nature and extent (including causes and impacts) of the URL challenges and opportunities been conducted?</p> <p>URL challenges: 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>URL Opportunities: 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p>	
	<p>Have data gaps if they exist been documented from the preliminary research?</p> <p>URL challenges: 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>URL opportunities: 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p>	
	<p>Has an analysis of the capacities of the decision makers (government officials) in URL been defined?</p> <p>Human -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>Financial -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>Technical -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>Institution -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p>	
	<p>Have capacity gaps been identified?</p> <p>Human -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>Financial -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>Technical -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>Institution -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p>	
	<p>If data gaps exist; have field survey been planned for and conducted?</p> <p>Planned: 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>Conducted: 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p>	
	<p>Has an analysis report on the URL challenges and opportunities been prepared?</p> <p>URL challenges: 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>URL opportunities: 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p>	
	<p>Has a Capacity development strategy (of the gaps identified) been defined?</p> <p>Human -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>Financial -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>Technical -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p> <p>Institution -1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes</p>	

	<p>Have alternative strategies/approaches on curbing these challenges and enhancing the opportunities through policy been outlined (referring to recommendations in this guide)?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
	<p>Have the cost-benefit analysis of these strategies/approaches been conducted?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
<b>Total Score</b>		<b>/66</b>
<b>Formulation phase</b>	<p>Has a SWOT analysis of the alternative strategies/approaches been conducted?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
	<p>Have the best approaches/strategies been identified?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
	<p>Have the capacity needs for the best URL approaches been determined?</p> <p>Human: 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p> <p>Financial: 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p> <p>Technical: 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
	<p>Has a detailed policy action plan (including the financial and capacity needs strategy and monitoring and evaluation framework) for the strategies been prepared (refer to the guide)?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
	<p>Are the completed URL policy proposal and action plan available?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
<b>Total Score</b>		<b>/21</b>



<b>Implementation phase</b>	Has the action/implementation plan for the policy proposal been completed? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Has the implementation plan been approved by relevant stakeholders? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Has the URL priority interventions/acupuncture projects been identified? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Has the financial strategy for URL been taken up by the responsible persons/institutions? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Has the legal strategy been approved for URL policy proposal implementation? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Have the relevant stakeholder's capacities been improved for URL policy proposal execution? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Have the relevant stakeholders taken up their roles and responsibilities? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Have feedback mechanisms for the URL proposal been developed to monitor the challenges and improvements? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	<b>Total Score</b>	<b>/24</b>
<b>Monitoring and Evaluation phase of NUP process</b>	Have all policy options been taken up by the relevant stakeholders? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Are the relevant stakeholder's able to execute the URL policy proposal from the improved capacities? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Is the financial strategy effective for the implementation? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Is the legal strategy effective for URL policy proposal? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Have the timelines for the URL policy proposal been followed? If not what are the challenges? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	How can the challenges for following the timelines be resolved? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	Has the mainstreamed policy enabled the implementation of the URL policy proposal 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
	<b>Total Score</b>	<b>/21</b>

## Appendix 2: Checklist for incorporating NUP process pillars

### Participation Pillar URL Policy process

Stakeholders	Been included in decision making process of the URL policy proposal?	Included the Rural constituent	How many? (where applicable)	Been included in the URL policy proposal execution?	Is yes indicate how? Beneficiary Financier Implementer Partner Others specify
National government	<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	
Sub-national governments	<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	
Local governments	<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	
Women	<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	
Youth	<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	
Civil society organizations	<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	
Private sector	<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	
Vulnerable populations	<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	
Community groups	<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No	
Others specify.....					

### Capacity Development

Components to check	Score
Have the human capacity needs on URL and implementation of the URL policy proposals of the relevant stakeholders been identified 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has a human capacity development strategy been developed for the URL policy proposal? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	

Has a human capacity development strategy been implemented for the URL policy proposal? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
If not implemented what are the issues/challenges?	
What adjustments could be made?	
Have the financial capacity needs for URL and the implementation of the URL policy proposal been identified? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Has a finance strategy been developed for the URL policy proposal? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Has a finance strategy been implemented for the URL policy proposal? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
If not implemented what are the issues/challenges?	
What adjustments could be made?	
Have the institutional capacity needs for the implementation of the URL policy proposal of the relevant stakeholders been identified? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Has URL institution capacity enhancement strategy been developed for the URL policy proposal? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
If not implemented have the issues/challenges been recognized? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Have the necessary adjustments due to the challenges been made? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/30</b>

### Acupuncture projects

	Score
Have URL quick win projects/programs been identified? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Have the required financial resources been allocated? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	

Have the required human resources been allocated? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Have the required technical resources been allocated? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Is there a timeline of the implementation? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Have the set timelines been implemented? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
If no have the challenges been identified? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Have the identified challenges been addressed? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
If the projects have been implemented have the lessons learnt been documented? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
<b>Total Score</b>	<b>/27</b>

### Appendix 3: Checklist for reviewing URL in a final policy document

<b>Recommendation 1: Encourage governance, legislation and capacity development across the administrative boundaries</b>	<b>Scores</b>
Has policy given directions for incorporating multi sectoral approaches in decision making for territorial development? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy given directions for incorporating multilevel approaches in decision making for territorial development? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy given directions for incorporating multi-stakeholder approaches in decision making for territorial development? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy allowed for knowledge sharing and exchanged on process for strengthening URL between urban and rural actors? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy allowed for knowledge sharing and exchanged on process for strengthening URL between urban and rural communities? 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	

Does policy also include strategies for rural development?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy emphasized on the integration of urban and territorial regions?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy promoted the increase capacity development of the actors in both urban and rural areas?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy instituted the need for awareness raising and the capacity of the local planning levels on URL?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/27</b>
<b>Recommendation 2: Advocate for integrated urban and territorial development</b>	
Has policy advocated for an integrated planning approach including urban, peri-urban and rural areas?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy incentivized means to bridge the economic, social and environmental gaps between urban and rural areas?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy developed structures/platforms/strategies for a dialogue between the different planning levels (including regional)?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy advocated for urban activities in rural areas and vice versa?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy considered decentralization of roles to the local authorities (empowering local authorities to develop and implement their local policies or spatial plans or governance structures in accordance with national level ones)?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Are there mentions of strategies for planning across administrative boundaries and sectors and approaches (at local level) (e.g. For land management; but also for service provision; development of green and blue corridors or development corridors;)?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/18</b>

<b>Recommendation 3: Promote inclusive finance and investment for development in both urban and rural areas</b>	
Has policy emphasized on investments by the government sector by sector specifying for the urban, peri-urban and rural areas?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy promoted payment of environmental services?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy promoted territorial public budgets?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Does policy advocate for investments for special economic zones (specialized cities) including small and intermediate cities?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Does policy advocate for investments in infrastructure and amenities for small and intermediate cities?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Does policy advocate for rural and urban population with access to electricity, improved sanitation, improved water source (bridging the development gap)?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Does policy have strategies for increased access to financial services for rural population?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/21</b>
<b>Recommendation 4: Empower people and communities in urban and rural areas</b>	
Are there strategies for economic growth across a region (urban-rural areas) in policies?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Are there Investments in urban-rural partnership projects (and governance structures) in policies?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Does policy promote Regular dialogue, information sharing and coordination of rural and urban development strategies?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Does policy promote close interaction between the rural and urban areas government authorities?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/12</b>

<b>Recommendation 5: Provide structures for knowledge and data management for spatial flows of people, products, services, resources and information</b>	
Has policy incentivized mechanisms to enhance the capacities of the governments to use, collect and process spatially disaggregated data?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy promoted strategies to ensure data and knowledge of movement of people across the urban-rural continuum is used in decision making by the relevant stakeholders?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Does policy mention use of GPS, GIS and other technology for data management?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Have the nature and causes of migration been addressed?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Have there been developed means of managing migration?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Are there investments in programs for economic and social inclusion of migrants?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Are there plans for data collection on migration to better project future needs for housing; services; job creation?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/21</b>
<b>Recommendation 6: Guide on ways of ensuring territorial development and employment including building the capacity of small and intermediate cities</b>	
Has policy instituted strategies to ensure development support for small and intermediate towns?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy sought to ensure that the capacity of small and intermediate cities is enhanced?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Have there been set aside strategies promote growth and development in small and intermediate cities and clustering for competitiveness?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Is there a plan for more investment in small and intermediate cities?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	

Are there considerations for increasing human and institutional capacity in small and intermediate?	
1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy considered “system of cities2” approach)?	
1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/18</b>
<b>Recommendation 7: Set strategies and institutions to ensure coherent approaches to social services provision</b>	
Has policy instituted for provision of health amenities in both urban and rural areas?	
1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy instituted for provision of education amenities in both urban and rural areas?	
1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy instituted for provision of recreational amenities in both urban and rural areas?	
1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/9</b>
<b>Recommendation 8: Provide the support infrastructure and technology other means to ensure there is connectivity.</b>	
Has policy provided for convenient spatial flows of goods and products between rural, peri-urban and urban areas?	
1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy provided for convenient spatial flows of people between rural, peri-urban and urban areas?	
1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy provided for convenient spatial flows of information between rural, peri-urban and urban areas?	
1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy provided for convenient spatial flows of services between rural, peri-urban and urban areas?	
1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy provided for adequate spatial distribution of Information Communication and Technology connectivity?	
1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	



Has policy provided for provision of infrastructure in both urban and rural areas? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/18</b>
<b>Recommendation 9: Promote food and nutrition security and public health in both urban and rural areas</b>	
Policies emphasizes the role of food and nutrition in strengthening URL linkages? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Do policies/strategies include protection of agricultural land near the city, urban agriculture zones and protection of natural resources (land, water, air)? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Do policies include considerations on circular approaches <sup>3</sup> for food including consideration on reduction of food waste (from farm to fork) and recycling? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Have vulnerable groups been included in policy for food and nutrition security? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Have aspects of food safety and nutrition for both urban and rural areas been addressed in policy? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Has the informal food sector been captured in policy? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Has policy mentioned markets links to food producers and consumers? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Has policy mentioned need for well-being in all decisions for both urban and rural areas? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Has policy focused on health of all in both urban and rural areas? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/27</b>
<b>Recommendation 10: Devise ways of reducing the environmental impacts in the urban-rural convergences caused by uncontrolled and unplanned urban developments</b>	
Has policy mentioned the need for environmental conservation? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	
Has policy mentioned the need for natural resources protection? 1. <input type="checkbox"/> No 2. <input type="checkbox"/> Partly 3. <input type="checkbox"/> Yes	

Has policy mentioned the need for land management?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy supported circular economy frameworks?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Do policies include strategies for reduction of energy consumption or foster investment in renewable energy production and use?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Are considerations included in policies for reduction for fostering non-motorized transport means to reduce air pollution?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Do policies/strategies include waste and water management, protection of soil (across administrative boundaries/at regional scale)?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Do policies cover risk reduction for ecosystems and promote biodiversity?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Do policy promote conservation and sustainable use of natural resources?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Has policy promoted systems approach and circular economy frameworks?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
<b>Total score</b>	<b>/30</b>
<b>Recommendation 11: Counter impacts of the disasters throughout the urban-rural continuum</b>	
Have means for supporting and resettling Internally Displaced Persons been incorporated in policy?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Have participatory approaches for reconciling differences on land at the urban-rural continuum been captured in policy?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Is collaboration between the national and local levels of government in disaster captured in policy?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	
Are there strategies for risk reduction (e.g. Flooding; land slides) that have been planned for at regional level in policy?  1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes	

<p>Are there collaborative urban-rural strategies to mitigate or respond to crisis?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
<p>Have land use and land rights issues been captured in policy (to avoid conflict)?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
<p>Has policy mentioned means to reduce disasters in rural, peri-urban and urban areas?</p> <p>Rural areas: 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p> <p>Peri-urban areas: 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p> <p>Urban areas: 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p> <p>Small and intermediate cities: 1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
<p>Policies mentioned emergency preparedness in the urban-rural continuum?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
<p>Has policy mentioned means to counter impacts of disasters in the urban-rural continuum?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
<p>Has policy promoted partnerships locally, nationally and internationally in countering disasters?</p> <p>1. <input type="checkbox"/> No    2. <input type="checkbox"/> Partly    3. <input type="checkbox"/> Yes</p>	
<p><b>Total score</b></p>	<p><b>/39</b></p>


## Appendix 4: Action Plans for Mainstreaming URL in NUP; (adapted from National Policy for Disaster preparedness and Management; Uganda, 2010)

URL Policy recommendation	Policy objective	Initiatives/ Activities	Timelines	Indicators of success	
1. counter impacts of disasters throughout the urban-rural continuum	1.1 Encourage and give incentives to programs that assist in-migrants in terms of employment, education, and service delivery opportunities.  (Ref Box 6)	Design training programs for immigrants for employment	12 months	100 IDPs trained every year	
		Develop a budget to cater for immigrants	12 months	Set budget in the national budget for immigrants from disaster	
		Develop amenities for immigrants in urban areas	24 months	Amenities for immigrants in the urban areas	
1. From the NUP-URL guide	1.1	1.1.1			

Implementing bodies/persons responsible	Leading organization or person	Cost estimates	Source of funding
<p>Department of conflict and disaster at the ministry of disaster and emergency preparedness and adaptation</p> <p>Red cross</p>	<p>Ministry of disaster and emergency preparedness and adaptation</p>	<p>USD 200,000</p>	<p>e.g. World bank</p> <p>Government revenue</p>







The accompanying publication on “Urban-Rural Linkages: Guiding Principles and a Framework for Action to Advance Integrated Territorial Development” focuses on multi-level, multi-sector and multistakeholder inclusion of both urban and rural spaces, people and institutions in territorial governance. A platform and tools to assist governments and development partners have been created to support work to strengthen URLs.

This Guide brings these parallel efforts together. The first part provides the rationale and process for bringing URLs into NUP formulation or revision, recognizing the importance of URLs in relation to the SDGs and the NUA. The ten URL Guiding Principles (URL-GP) and Framework for Action (FfA) are explained in this guide as a tool for mainstreaming URL in national policy. The second part addresses how to mainstream URLs in policy. NUP implementation is comprised of five phases, namely feasibility, diagnostic, formulation, implementation, monitoring and evaluation. This guide provides suggestions for strengthening URLs in each phase. A checklist is provided in this guide to proceed through the

five NUP phases, but with a focus on URL in order to arrive at the policy recommendations related to URLs. The guide thus provides a framework for assessing URL in each phase of NUP development with tools for identifying challenges, opportunities, priorities, stakeholder engagement, data gaps and policy recommendations. The third part provides recommendations for mainstreaming URL in policy with reference to the URL-GP and eleven fields in the Framework for Action, based on 15 national and subnational experiences in different regions. Tools are provided in appendices to assess the level of incorporation of URLs in NUPs in each of the four phases of policy formation, assess the degree of stakeholder participation, and possible recommendations based sections from the URL-GP Framework for Action.

This guide provides a framework that can be revisited when different challenges or opportunities arise in different contexts. It is designed to be a reference document for government officials, development partners, civil society, the private sector, research organizations and others.

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