



Evaluating the Impacts of Urban Policies

A Guide for Urban Policy Leaders

Evaluating the Impacts of Urban Policies: A Guide for Urban Policy Leaders

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P.O. Box 30030 00100 Nairobi GPO KENYA

Tel: 254-020-7623120 (Central Office)

www.unhabitat.org

ACKNOWLEDGEMENTS

Author: Michael Kinyanjui

Contributors: Antonio Kipyegon, Grace Githiri and Remy Sietchiping

Design and Layout: Mark Mungai and Jean Robert Gatsinzi

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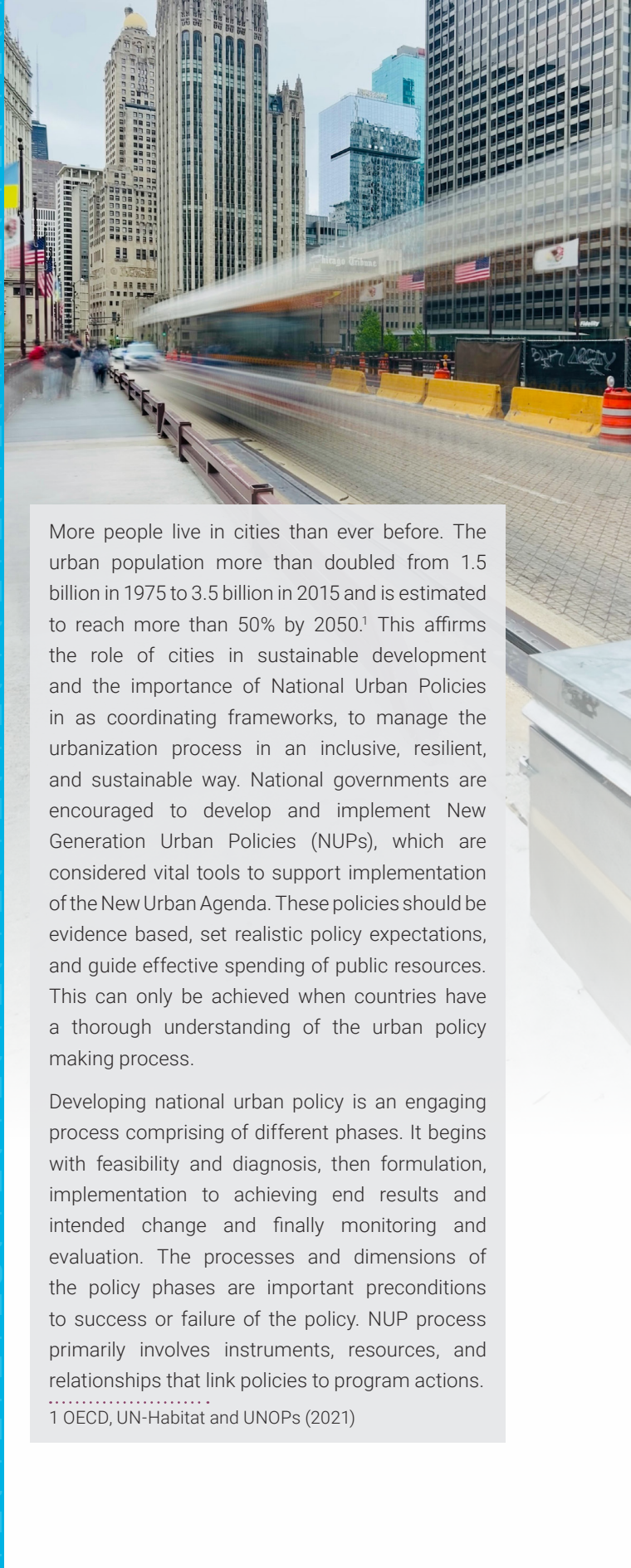
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CHAPTER

01

Introduction



More people live in cities than ever before. The urban population more than doubled from 1.5 billion in 1975 to 3.5 billion in 2015 and is estimated to reach more than 50% by 2050.¹ This affirms the role of cities in sustainable development and the importance of National Urban Policies in as coordinating frameworks, to manage the urbanization process in an inclusive, resilient, and sustainable way. National governments are encouraged to develop and implement New Generation Urban Policies (NUPs), which are considered vital tools to support implementation of the New Urban Agenda. These policies should be evidence based, set realistic policy expectations, and guide effective spending of public resources. This can only be achieved when countries have a thorough understanding of the urban policy making process.

Developing national urban policy is an engaging process comprising of different phases. It begins with feasibility and diagnosis, then formulation, implementation to achieving end results and intended change and finally monitoring and evaluation. The processes and dimensions of the policy phases are important preconditions to success or failure of the policy. NUP process primarily involves instruments, resources, and relationships that link policies to program actions.

¹ OECD, UN-Habitat and UNOPs (2021)



Thus, effective design, formulation, and implementation determines its success by ensuring quality of content, engagement, delivery, and reduction of inconsistencies throughout the policy process. Effective policy development not only helps achieve the intended policy impacts but also demonstrates accountability, better knowledge, and learning opportunities on what works and what doesn't, through its monitoring and evaluation process.

An effective urban policy monitoring and evaluation system is one in which “evaluation is a regular part of the life cycle of policy and programmes; are conducted in a rigorous and systematic manner and whose results are used by decision-makers while making information available to the public”². Policy evaluation connects policy, policy makers and citizens, ensuring that decisions are rooted in trustworthy evidence and deliver desired outcomes.³ Despite many countries having strong commitment to policy evaluation, as is embedded in a range of their legal and policy frameworks, monitoring and evaluation remains a challenge for many and especially in urban policies. This guide provides a framework ascertaining impacts of urban policy by ensuring effective monitoring and evaluation procedures, throughout the policy process.

1.1. Purpose and Structure of the Guide

The purpose of this methodological guide is to support policy makers at the national and subnational levels to monitor and evaluate the urban policy making process and strengthen evidence-based impacts of such policies. Using different metrics, it provides a step-by-step methodological framework to identify urban policy outcomes and related impacts. This is done through a policy impacts evaluation checklist and scoring template, to assess if NUPs are making intended difference in people's lives.

This guiding framework first discusses why the need to review urban policies and how to identify and measure their impacts at different levels. It moves beyond the conventional policy evaluations that emphasize on outputs or outcomes but leave out evaluation of policy processes, related impacts throughout the phases. It's based on the premise that, policy process avails more insights on barriers or facilitators of more effective formulation and implementation, hence offering greater and better understanding of why urban policies either work or not and the factors that contribute to policy failure or success. It's based on assertion that it is highly unlikely that policy impacts will be achieved in absence of effective formulation and implementation processes.

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² OECD (2020).

³ OECD (2020 a).



Improving urban policy evaluation enhances community outcomes, as seen in Nias, Indonesia © UN-Habitat

1.2. Target Audience

This guide is intended to be directly beneficial to city leaders and officers in urban development ministries, departments, and agencies involved in formulation, implementation, and monitoring and evaluation of National and Subnational Urban Policy. It offers insights to policy makers and analysts on issues of interest to support and improve policy process for sustainable urban development.

It's a useful guide for officers in urban policy monitoring and evaluation departments as it elaborates the urban policy evaluation process, its outcomes, intended and unintended impacts. Such understanding would guide their urban policy monitoring and evaluation strategy. Equally, donors and development agencies need to ensure value of their investments in urban policy processes in terms of practice and impacts. This guide is also important for independent evaluators who need to understand guiding principles, standards and processes for monitoring and evaluation of urban policies within the UN-Habitat context.

Development communication specialists would use the guide to identify policy progress and impacts for awareness raising. This guide is not the only resource for NUP impacts evaluation but complements other relevant urban policy guides, tools, and materials. It can be used in relation to these guides by anyone who needs to understand and or be engaged in the urban policy process - implementation, monitoring, and review processes.

1.3. Why Monitor and Evaluate Policy Impacts

Governments at national and subnational levels must justify their policy and regulatory decisions to citizens and all other relevant stakeholders. Whereas evaluation of policy implementation is critical to ensure government policies are achieving desired outcomes and especially improving citizens well-being, not many governments systematically evaluate the impacts of their regulatory policy management efforts.⁴ Evaluation of policy implementation aids in monitoring progress

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⁴ Anne et al. 2015

towards achievement of government goals and international commitments such as the Sustainable Development Goals (SDGs) and the New Urban Agenda (NUA). Rapidly changing policy environment influences effectiveness and efficiency of policy process, hence, change in intended outcomes. At implementation, policy activities may for example be interpreted differently by stakeholders, leading to variation of expected results. As such, the policy process needs to always consider changing realities and environment. Impacts of such changes can only be identified and analysed through effective policy impacts monitoring and evaluation processes, that is robust and of high quality. However, despite its importance, policy evaluation is often the weakest link in the policy cycle and is riddled with many challenges. Ann et al (2015)⁵, highlight some of the challenges government encounter in evaluating policy impacts including:

- i. Lack of clarity surrounding the objects to be evaluated, i.e., what should be measured in policy evaluations?
- ii. Impracticality of demonstrating causality: i.e. are all impacts on society attributable to improvements in the policy process?
- iii. Dearth of information: which steps must countries implement to generate the information needed for policy evaluation?

Equally, to effective policy impacts monitoring and evaluations need to be embedded into a government policymaking and budget cycle processes. This policy impacts evaluation guide provides a framework for governments

to address the policy process challenges and especially in evaluating impacts of urban policies at national and sub national levels. Policy impact monitoring and evaluation contains essential elements that would help governments achieve development objectives including:

- i. Effective appraisal on how policy was formulated, implemented and provision of lessons and recommendations that can inform and improve design and implementation of future public policies processes.
- ii. Promoting public accountability and insights into policy contribution to prosperity and well-being for citizens.
- iii. Foster increased public sector effectiveness and improved decision-making processes by identifying barriers to and facilitators of public policy implementation.
- iv. Has the potential to improve transparency and legitimacy in the use of public resources as it provides citizens with information on whether allocating budgetary resources and implementing new laws and regulations are delivering expected results.
- v. Help identification of the relationships between planned policy implementation logic model and other external influences/ environment.
- vi. Collects information to support implementation and interpretation of future evaluations of policy impact.
- vii. Identifies good practices for replication in other contexts, as well as opportunities for improvements.

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5 Anne et al. 2015

CHAPTER 02

National Urban Policy Impacts



2.1. What are Urban Policy Impacts

Urban policy impacts are direct or indirect, intentional, or unintentional, positive, or negative changes derived from implementation of urban policy interventions. They are consequences of government activity,⁶ and tells us about performance of an urban policy process from identification to implementation, and whether the policy goals were achieved or not. While impacts from urban policy can take many forms, changes to urban legislation are often seen as the most concrete ways of making change happen and sustaining the impacts. Change in legislations can lead to changes in behaviour, relationships, actions, and activities. However, policy impacts may include other non-legislative decisions, such as setting standards and regulations, budgetary resource allocations, changing the levels of subsidies or taxes, and decisions about whose voices is included in policy debates or what evidence to base decisions are important.⁷

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6 Chowdhury and Panday, (2018)
7 ODA (2018)





2.2. Why evaluate Urban Policy?

National Urban Policy (NUP) has been defined as “A coherent set of decisions derived through a deliberate government led process of coordinating and rallying various actors towards a common vision and goal that will promote more transformative, productive, inclusive and resilient urban development for the long term.”⁸

In most countries, NUP aims to enhance a comprehensive, strategic, and shared vision for balanced, quality and polycentric urbanisation, and effective alignment and co-ordination across places, sectors and levels of government. It further aims to help promote productive, competitive, prosperous, and environmentally sustainable cities.

However, even in countries with the most elaborate NUPs, there has been little evidence how such policies generate positive spatial, socioeconomic and environmental outcomes and impacts that transform their urban areas. Furthermore, an inevitable exist in many countries in attributing development impacts to urban policy and related investments.

This raises the need to improve methods and processes of generating credible evidence to urban policy impacts from urban programmes and to strengthen such evidence through improved evaluation procedures. NUPs can help achieve sustainable cities if they are effectively implemented and their impacts measured in terms of whether its design, formulation, and execution achieve intended goals, giving value not only to the policy document but also the process and the outcomes and impacts it achieves.

The purpose of urban policy monitoring and evaluation is to establish whether urban policy and its resultant implementation is relevant, effective and efficient enough in promoting the general welfare of urban citizens.⁹

It systematically examine the policy process, its components and results to determine their relevance, effectiveness and efficiency at each stage.

Intrinsically then, while implementing urban policies, governments need to collect evidence that the policies are impacting people by enhancing urban governance, are improving spatial, financial, economic, environmental sustainability and social safeguards. Such evidence along with information available about other factors that may have had effects on the outcomes forms an important element in urban policy feedback loop that is in the revision and or re-design of policy. Furthermore, governments need to collect evidence on whether they are empowering all levels of government and non-state actors to develop a strategic shared vision and to engage in productive urbanisation that leads to environmentally sustainable and socially inclusive network of cities, that are competitive not only at national but global levels.

While this process provides urban stakeholders with adequate information on urban policy implementation progress or delay, leveraging on best evidence from policy impacts evaluations helps improve on the relevance, effectiveness and efficiency of urban policies and their related interventions; enhances effective use of scarce resources and increase transparency and accountability of the interventions.

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8 UN-Habitat (2016)

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9 Meiring M.H. (UNDATED)



2.3. What to evaluate? / Criteria for evaluating NUP

NUP evaluation is the systematic and objective examination of relevance, effectiveness, efficiency, and impact of urban policy related activities in the light of specified objectives.¹⁰ It assesses the certainty and clarity of the objectives and extent to which they are attainable, logic of the policy programmes and related activities.

2.3.1. Efficiency:

Efficiency is evaluation criterion that measures how economically resources or inputs are converted into desired policy outputs. It explores the extent to which resources are being used to produce the intended outputs and how such resources could be used more efficiently to achieve the same results within the same timeline. Thus, NUP efficiency evaluation measures result against costs to produce them. As such it evaluates if NUP is designed, developed, and implemented transparently and inclusively and in accordance with laid down procedures and resources.¹¹ Thus NUP efficiency evaluation would include:

- » The cost of policy programme execution.
- » How policy programmes compare with other similar initiatives.
- » Whether alternative programmes could deliver similar or better outputs at lower costs.
- » Changes that can be made to increase outputs and decrease costs

¹⁰ UN-Habitat (2020)

¹¹ UN-Habitat (2020)

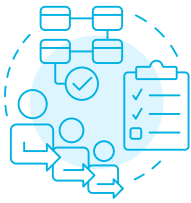
2.3.2. Effectiveness:

Effectiveness is about quality of policy results obtained. It is a measure of the extent to which the policy's best possible intended results have been achieved. It evaluates ratio of cost of policy to quality. Evaluation of effectiveness is not only about achievement of policy intentions, outcomes, and results but also more importantly about the process followed to achieve the results. Key question on evaluating effectiveness includes:

- » How well are the overall goals of the policy being achieved?
- » Are the right programmes/action being identified to implement NUP?
- » Are the NUP actions /programmes targeting the right beneficiaries?
- » Is NUP effective in terms of its value for money?
- » Are the observed changes or progress attributable to the policy?
- » Are NUP results being achieved within the stipulated time scale?

2.3.3. Relevance:

Relevance concerns the extent to which intended outputs or outcomes of the urban policy are consistent with the priorities and needs of the beneficiaries and in the context of achievement of the national, regional, and global urban development goals.



EFFICIENCY



RELEVANCE



EFFECTIVENESS



SUSTAINABILITY

It also involves evaluation of the congruency of what is envisioned by the urban policy makers versus what is needed from the perspectives of the beneficiaries and the extent to which the policy responds to the emerging urban development priorities in a responsive manner.

2.3.4. Sustainability:

Sustainability evaluation seeks to assess if the policy related achievements will persist beyond the policy intervention. It also looks at the processes / mechanisms put in place to support and sustain the benefits of the policy in the longer term. It seeks to answer the key question, will the benefits last?



2.4. When to Evaluate NUPs?

To effectively identify impacts, NUP evaluation need to be systematic and objective process at the design, formulation, implementation, and results. It needs to be a continuous review taking place at predetermined times including:¹²

- » Before NUP implementation – assess evaluability and formulation process.
- » Mid-term / NUP implementation – formative evaluation.
- » After NUP implementation – summative, outcome /impact evaluation.

However, depending on the policy-making process impact assessment could be distinguish between **ex-ante** and **ex-post** NUP impacts evaluation.^{13,14}

i. Ex-ante NUP Impact Evaluation

Ex-ante impacts evaluation is a forward-looking assessment of the likely future impacts of a new initiative such as policies, programmes, and strategies.

12 UN-Habitat (2020)

13 UN-Habitat (2020)

14 Matei, and Camelia (2011)

It takes place prior to the implementation¹⁵ and at the beginning of policymaking process. It makes predictions regarding the impacts that could be achieved because of implementation of the NUP, hence provides a guide to the future. As a result, it provides an analytical framework to assess a country's organizational capacity and political willingness to develop, monitor and evaluate its NUP. This includes institutions roles and responsibilities, capacities, incentives and demands needed to effectively monitor and evaluate the NUP. It also looks at the usefulness, costs, and objective attainment of the policy.

Ex-ante evaluation should focus among on:

- » The extent to which the NUP focused is in line with agreed formulation standards and is relevant to the urban problems identified.
- » Extent to which diverse urban stakeholders involved.
- » Clear and strong leadership in policy formulation and implementation.
- » How NUP guide transformation of available resources into the intended outputs, in terms of quantity, quality and timeliness.
- » How NUP will achieve its intended results.

ii. Midterm Evaluation

Midterm evaluation generally has a formative nature as it is undertaken around the mid period of implementation of the initiative.

Formative evaluation intends to improve performance, most often conducted during the implementation phase of projects or programmes.

iii. Ex-post Evaluation

Ex-post policy impacts evaluation is a type of summative evaluation conducted after NUP implementation. Its purpose is to study how well the policy served its aims, assess sustainability of its results and impacts and draw conclusions for similar future initiatives.¹⁶ It measures results achieved and identifies deviations from the planned objective, the extra time and the additional costs related to resources and other factors. Ex-post assessment helps to identify the lapse in NUP implementation and to make prescriptions concerning the appropriate solutions for improved implementation. Further it evaluates whether specific NUP intervention were justified and whether worked as expected to achieve policy objectives; if the observed changes are because of the NUP; and assessing how various national and sub national offices are implementing particular NUP tasks and functions that are critical to producing a desired outcome.

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15 UNDP (2009)

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16 UNDP (2009)

Questions addressed in ex-post policy assessment:

- » Have the original objectives of NUPs been achieved in quality, quantity and time?
- » Have the interventions brought about achievement of policy objective?
- » Has policy implementation been affected by external factors?
- » Are there any significant unexpected side effects that resulted from the policy?
- » Have inputs required from the Government and other stakeholders been made as planned?
- » Were resources allocated been wasted or misused?
- » Has the regulation led to any unfairness or disadvantage to any sector of the community?
- » What improvements could make policy process more effective or cost efficient?

Some adapted from CUTIS International (Undated) Regulatory **Impact Assessment Toolkit: A Practitioner's Guide in Developing Countries**



2.5. Urban Policy Impact Evaluation Process

Urban Policy Impact Evaluation a process that involve 'input - process - output - impact' logic model.



Inputs: Inputs are resources committed to achieving stated strategic objectives. Among the important factors are the indicators given in the 'measuring regulatory performance' such as actors, budget, administrative burden, and committees and working groups, and their working procedures.



Process: this step involves checking to what extent the applicable formal requirements for good urban policy formulation practices are in place, such as impact assessment procedures or an infrastructure for indicators.



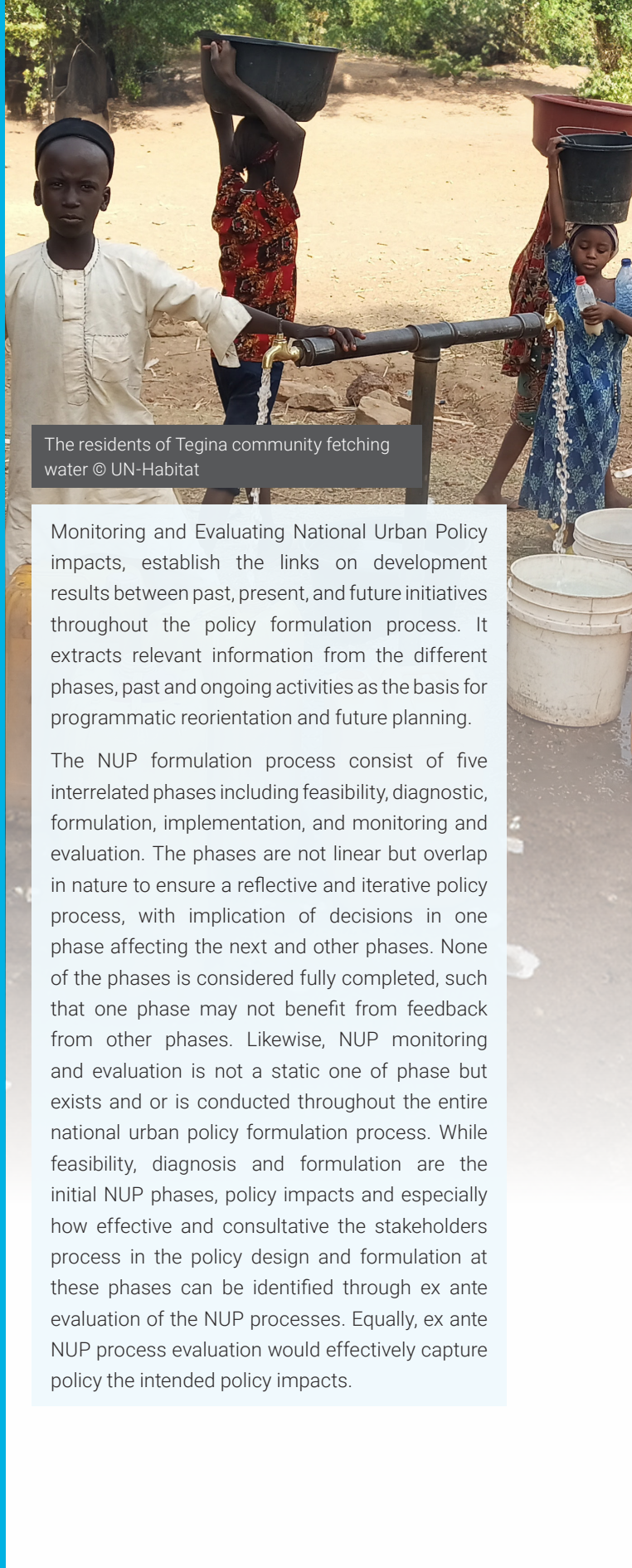
Output: this step involves quantifying the actual application of the good practice requirements documented in the previous step in creating and evaluating the urban policy



Impacts: Impacts are the end results of a policy. Evaluating impacts involves quantifying the contribution of the good practice requirements to improving the quality of the policy / people, using the intermediate outcome indicators as a guide. They are evaluated by looking at effectiveness and efficiency of the policy process, including interaction or amalgamation of policy formulation resources and the environment, measured against costs and results achieved.

CHAPTER 03

Evaluating Impacts at the NUP Phases



The residents of Tegina community fetching water © UN-Habitat

Monitoring and Evaluating National Urban Policy impacts, establish the links on development results between past, present, and future initiatives throughout the policy formulation process. It extracts relevant information from the different phases, past and ongoing activities as the basis for programmatic reorientation and future planning.

The NUP formulation process consist of five interrelated phases including feasibility, diagnostic, formulation, implementation, and monitoring and evaluation. The phases are not linear but overlap in nature to ensure a reflective and iterative policy process, with implication of decisions in one phase affecting the next and other phases. None of the phases is considered fully completed, such that one phase may not benefit from feedback from other phases. Likewise, NUP monitoring and evaluation is not a static one of phase but exists and or is conducted throughout the entire national urban policy formulation process. While feasibility, diagnosis and formulation are the initial NUP phases, policy impacts and especially how effective and consultative the stakeholders process in the policy design and formulation at these phases can be identified through ex ante evaluation of the NUP processes. Equally, ex ante NUP process evaluation would effectively capture policy the intended policy impacts.

The NUP Process Evaluation involves assessment of the extent to which different NUP formulation activities support achievement of the policy goals. It is useful for monitoring evolution of policy or programme design and implementation, to identify changes to make to ensure the policy operate as planned.

It gives insight into what elements of the policy process could lead or led to success or failure of the policy for ex ante and ex post and summative evaluations respectively. As such effective NUP monitoring and evaluation should be carried out throughout the policy process to establish outcome and related impacts of each of the five phases.

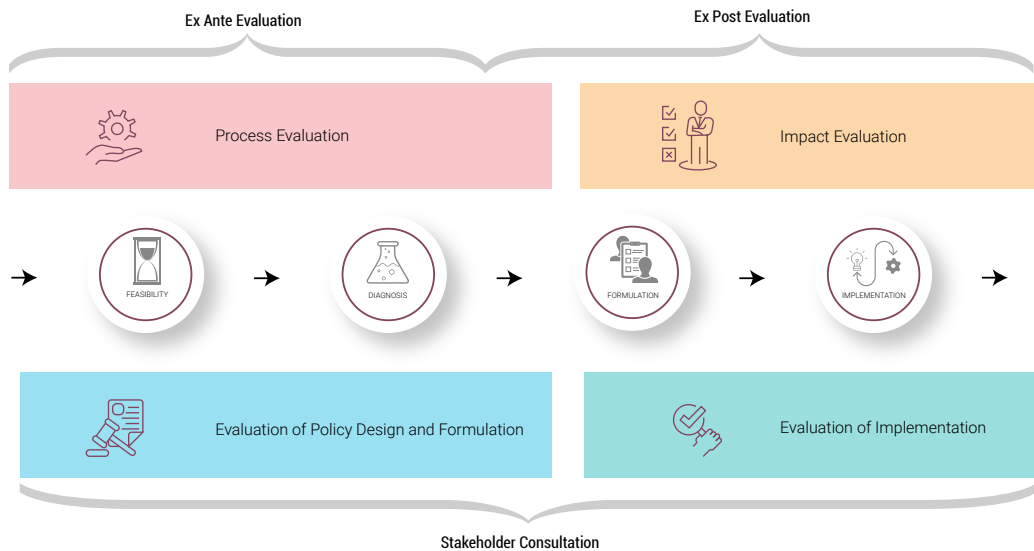


Fig 1. Impacts evaluation through NUP Phases

3.1. Evaluating Impacts at NUP Feasibility Phase

NUPs are formulated when urban areas are not functioning optimally or when there are challenges to guide, improve or achieve sustainability in urban development. Feasibility helps with identification and understanding the values for NUP within context of a country. It involves understanding existing or imminent challenges impacting urban sector, determining their cause and establishing the necessary conditions to effectively enhance productive and competitive urbanisation process. The understanding helps build consensus on the problems, make a strong case for human and

financial investment in the policy and regulatory interventions needed to resolve the issues. It also gives an opportunity for a national or subnational governments, in consultation with relevant stakeholders to coordinate and set urbanization agenda for the country.

Feasibility determines whether and under what context a NUP can be developed and ensure its objectives, outcomes and indicators can be adequately defined and results verified. Such evaluability assessment at this phase helps to create conditions necessary for an evaluation by identifying shortcomings to be addressed.¹⁷

¹⁷ UN-Habitat (2020)

List of indicative impacts:

- » Increased awareness and empowerment of stakeholders to participation in NUP process.
- » National consensus built around urban development challenges and clear vision around sustainable urbanisation.
- » Role of different urban stakeholders in addressing challenges identify and clearly defined.
- » Best alternative strategy approaches to address urbanization challenged identified - NUP process accepted, understood, and endorsed.
- » Increased pool of information, understanding, confidence and cooperation among urban stakeholders

3.2. Evaluating Impacts at NUP Diagnostic Phase

NUP should be evidence based. It requires deeper understanding of the existing contexts, challenges, and opportunities of urban development in a country, hence the need for a diagnostic. NUP diagnostic is therefore an umbrella activity that gathers the necessary information and evidence to deliver on NUP objectives and related principles. Besides the context, inclusion of all relevant actors and stakeholders, most relevant variables, facts and figures associated with urban challenges and opportunities is inevitable. Likewise, clear understanding of the institutional setup that make the environment upon which NUP will be developed, implemented, monitored, and evaluated enhances creation of informed goals of the policy, and forms the foundation for the policy itself.

At the diagnostic phase, it's also important to undertake stakeholders and institutional mapping and analysis within which NUP will be developed. Evaluation of NUP diagnostic phase is considered impactful if:

- » Significance of the National Urban Policy is evident from clear elaboration of urban challenges and opportunities and their specific contexts.
- » Urban issues of concern and focus (policy problem and statement) are defined in a participatory and inclusive manner.
- » Clear goals and objectives for policy solutions to the problem defined.
- » Identification of catalytic/ quick win interventions to demonstrate policy benefits.
- » A firm map of stakeholders and a complete idea of how to engage and include them in the NUP process.

3.3. Evaluating Impacts at NUP Formulation

NUP formulation is a complex modular exercise that is preceded by policy design process. NUP formulation determines effectiveness and success of implementation process. Like feasibility, formulation draw on capacities of the broad network of urban stakeholders. Thus, partnership framework established in prior phases should support NUP formulation, implementation, monitoring and evaluation.

NUP should be well designed and drafted/ prepared to enable robust implementation, monitoring and evaluation.¹⁸

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18 UN-Habitat (2020)

Quality leadership, active, inclusive, and extensive consultation of all stakeholders on policy options are inevitable ingredients in urban policy formulation process. It's during formulation that the policy proposals are drafted and evaluation of options to get plausible choices and of the evaluation of human, financial and institutional capacities is undertaken. The formulation process should adhere to five principles of inclusion, participation, affordability, sustainability and 'implementability'. Key evaluation component at formulation is NUP content:

3.3.1. Evaluating NUP Content

NUP content evaluation examines the substantive information contained in the policy in relation to the policy's requirements and the national context.

NUP content should indicate the identified underlying urban challenges, the policy's goals and objectives, target population, and the broad actions and strategies to address the problem. It should have a rationale and a time horizon.

Substantive content of NUPs vary from country to country given varied contexts as reflected by urban policy diagnostic. The content could be summarised into six key urban sustainability issues upon which policy content evaluation need to be based including *urban governance, spatial sustainability, financial sustainability, economic sustainability, social sustainability, and environmental sustainability and resilience*.¹⁹

The NUP goals and objectives need to be designed to respond to the six sustainability areas.



Urban Governance: Based on two pillars of solid institutional framework and an enabling regulatory framework, good urban governance is an indispensable component of any NUP. National or sub national governments need to work with stakeholders to strengthen and support institutional frameworks for effective NUP implementation.



Indicative issues

- * Mechanisms for NUP stakeholders coordinating mechanism.
- * Identified stakeholders to support NUP formulation and implementation.
- * Legislative framework and enforcement mechanisms
- * Vision of NUP mainstreamed into government department programmes and policies.

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19 UN-Habitat (2019)



Spatial Sustainability: Effective NUP need to advocate for a balanced urban system with a clear hierarchy system of cities. It ought to develop corrective policies that address imbalances and allow for a more balanced population and economic distribution of the human settlements system.



Indicative issues

- * Spatial data on emerging urban trends, challenges, and opportunities
- * Innovative and integrated urban spatial patterns and designs
- * Spatial development vision with productive and potential role of cities and towns.



Financial Sustainability: Urban development requires sustainable and predictable funding to develop and maintain required basic infrastructure and local services. To financial sustainability NUP needs to promote strategies that enhance municipal revenues including fairness in intergovernmental transfers and other land-based financing mechanisms.



Indicative issues

- * Empowered local authorities to generate local revenue.
- * Strategies to enhance intergovernmental transfers and exogenous financing mechanisms.
- * Strengthened urban financial management capacities.



Economic Sustainability: To enhance cities economic sustainability and prosperity, NUP needs to focus on enhanced provision, access and maintenance of infrastructure. This includes investments in better connectivity and integration of technology into infrastructure planning.



Indicative issues

- * Promotes urban connectivity and expanded use innovative technology.
- * Enhances balanced distribution of affordable infrastructure and public facilities.
- * Has strategies to address infrastructural development impacts including climate change.



Social sustainability: Promotion of urban social inclusion is an integral part of any NUP. Housing and adequate shelter are key considerations given it consumes between 25 and 30 per cent of urban household incomes. While a housing policy must look at the needs of all levels of society, more focus is needed on the urban poor, with incentives for creation of local market for affordable mortgages and to encourage personal savings.



Indicative issues

- * Strengthened capacity and institutional mechanisms for marginal communities and socially disadvantaged groups to participate in urban programmes.
- * Strategies to increase access to adequate and affordable housing, basic services, and livelihood opportunities by all social groups.



Environmental sustainability: Cities are main generators of greenhouse gases (GHG) but also highly vulnerable to disasters. NUPs should aim to reduce cities' environmental impacts, increase their resilience to natural disasters and protect their population from climate change. In some cases, lack of territorial planning has led to urban sprawl and negative environmental impact by increasing cities' footprints. NUP may need to address these among other concerns.



Indicative issues

- * NUP promotes compact, connected low carbon developments.
- * Prioritize design, production and use of urban spaces and services to ensure that the needs of all are addressed.
- * Promotes homes and developments that are energy efficient.
- * Prioritizes implementation of global agendas on environmental sustainability

Within each of the six sustainability areas, evaluation of both its relevance and adequacy of the content to the national context under which policy is being made need to be considered. Evaluation questions to determine relevance and adequacy includes assessing if the policy clearly and satisfactorily frames priority issues as highlighted in the diagnosis; if policy proposals address urban development challenges of the country and if policy strategies articulate an implementation logic to achieve the policy goals and objectives, and if the policy time horizon is adequate to achieve stated objectives.

3.4. Evaluation of NUP Implementation Phase

Policy implementation is a complex ongoing process of executing of policy decision in line with its stated goals or objectives. Policy implementation involves translating the proposed policy options and action plan to reality, hence is a critical component in understanding the policy's effectiveness, for its success or failure depends upon how effectively it was implemented. Policy implementation is highly influenced by content, nature of the process, the actors involved, and the context in which the policy is designed and implemented.

Urban policies may sometimes not be implemented as envisioned by the policymakers. As such, evaluation of policy implementation analyses effectiveness in achieving planned actions and provides important evidence on barriers and facilitators to implementation. It examines inputs, activities, outputs and outcomes involved in the implementation process of the policy. Furthermore, it provides important information about stakeholder perceptions and awareness, as well as barriers and facilitators to their involvement.²⁰ Compared to other NUP phases, evaluation of implementation is more summative in measuring and determining if the policy has achieved the intended outcomes and impacts.

NUP Evaluation Considerations at Implementation Phase

- i. Implementation analysis has been undertaken: - This helps identify any existing implementation gaps overlooked during formulation

phase. Legislative and administrative landscape in which the policy will be implemented is also well understood.

- ii. Implementation plan and timeline is developed: - Quick strategic initiatives (acupuncture) are identified; implementation roles and responsibilities delegated. Decentralisation of power to lower levels done to enhance their implementation capacities. Policy plan and task breakdown to enhance clarification of roles and responsibilities and to enhance implementation coordination.
- iii. Timelines creates a system of accountability for all actors involved by creating deadlines for policy activities.
- iv. Policy intent is translated into legislation enhancing the policy enforcement and institutional arrangements and technical skills towards policy implementation improved.
- v. Budgets are reformulated and resources allocated: - Financial resources are allocated to implementation of different policy strategies.
- vi. Continued advocacy on the policy Increased awareness on the policy and related project.
- vii. Undertake continuous monitoring of on-going implementation results: - Value for resources achieved.

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20 CDC (Undated)

CHAPTER 04

Summative Outcomes and Impacts of NUPs

4.1. Introduction

Policy outcomes are the likely or achieved short-term and medium-term effects of a policy intervention's outputs while on the other hand impacts are the medium and long-term effects of a policy intervention. Outcomes are the immediate changes derived directly from the policy intervention outputs, are time based, may be intentional or unintentional. They are the 'gross effect' direct and indirect, positive and/or negative socio-economic effects that may be observed after a certain period of implementing a policy intervention.

Outcome evaluation is an important component in the implementation of an evidence-based policymaking approach. The evaluation focuses on the degree to which the expected policy objectives have been achieved or not while also linking them to effectiveness of the policy intervention. It also determines whether the programme makes a difference when compared to its absence or to an alternative programme, and the benefits in relation to their costs.

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In outcomes evaluation, contribution and attribution concepts are significant. While contribution looks at the degree policy intervention has made certain outcomes possible to achieve the pursued objectives, attribution refers to the fact that the intervention has caused the observed change, hence evaluation is only to determine the extent to which the policy has provoked the change. Outcome evaluation should also be seen in the wider policy evaluation where it should focus beyond “what” has been achieved, to look at “how” and “why”.

Policies aiming at nonrecurrent outcomes (e.g. infrastructure development) may be easier to evaluate than those with iterative objectives hence need constant renegotiation in the face of changing circumstances. Evaluation of outcomes is as useful in determining the extent to which NUP achieved its defined goals. It needs to be closely linked to SDGs reporting systems as NUP is related to SDG targets. Outcome evaluation leads to defining impacts.

4.2. Evaluating Summative Outcomes.

Using the effectiveness and efficiency metric, outcomes of an urban policy may be evaluated in terms of achieving its intended results. Effectiveness of the policy outcomes would be assessed in terms of achievement of quality results and services in short term, achievement of the policy goals in the long term. The evaluation needs to show the extent to which NUP achieved intended results including:

- i. Change in and development of urban laws and regulations to support the

implementation NUP. The legislations need to be clear in terms of delivering urban policy objectives and the language used.

- ii. Creation and enhancing accountability of national and subnational urban institutions to implement the policy.
- iii. Changes in government investment and budget allocation to urban development priorities.
- iv. New urban innovations by government agencies and other actors in their urban operations and management
- v. International treaties, declarations, or agreements reached at and signed to enhance implementation of the urban agenda.
- vi. New programmes developed to implement the urban policy.

Programmes / actions identified and developed corresponds to NUP objectives.

The programmes / actions targeting the right beneficiaries. There are increased budget allocations to implement programmes and activities related to the policy.

- vii. Stakeholders focused/ related outcomes.

There is increased interest and openness among the key stakeholders on the urban policy and its proposals. Capacities and skills of stakeholders have been enhanced for effective policy implementation. Actors and stakeholders are coherently working together in policy implementation. Necessary structures and incentive have been put in place to facilitate policy implementation.

viii. Systems level outcome:

There is an increased inclusive decision-making process on urban development issues.

- » An inclusive and accountable community decision-making process for fundamental Urban Issues system reform has been established.
- » Increased civic engagement and participation on urban issues.
- » There is intensive collaboration among community agencies and institutions.
- » There is opening of more spaces of policy dialogue.

The policy outcomes may be assessed using the efficiency criterion which requires that maximum policy outcomes are achieved using minimum resource input or consistent outcomes with a smaller resource input.

While undertaking this assessment, the following issues need to be considered:

- » NUP provided guidance for transforming the available resources into the intended outcomes, in terms of quantity, quality and timeliness.
- » To realize the outcomes, NUP was designed, developed and implemented correctly, i.e., according to procedures, without wasting time, money, transparent and in an inclusively manner.
- » The urban policy activities /initiatives have been implemented according to the implementation plan.
- » The policy implementation and monitoring roles, responsibilities and

commitments of different partners is clearly stipulated.

- » Information that should be reported in terms of effects and outcomes of the policy by implementing partners is clear and well stipulated.

4.3. Evaluating Summative Impacts

Policy impacts evaluation (IE) is technically the last step in the policy evaluation process. It involves assessing the larger term outcomes, goals, and results of the policy. They are the net effects long-term achievements of the policy intervention as compared to the outcomes that are “gross effects”. Impacts are related to the changes or effects produced by the policy within the urban areas and the target population in general. Impact evaluation exercise is mainly an external task that is strategically outsourced to the right agencies or individuals to measure policy impact. It is performed once the policy has been implemented (ex-post) and focuses on changes achieved.

Sometimes, impact evaluation is difficult especially because urban policy alone may not be the single intervening variable that may have contributed to the desired change but may have included other exogenous or external factors. Nevertheless, despite the policy attribution challenges, it is important to effectively determine if policy is responsible for the desired and observed changes; otherwise, there would be no need of having the policy. Thus, urban policy impact evaluation seeks to reveal the changes that may uniquely and exclusively have been attributed to the policy once other factors or incidental causes have been controlled.



Water supply at Ward K Tamale, Ghana © UN-Habitat

An important approach to impacts evaluation ‘attribution’ could be use of counterfactual process i.e. evaluating what would have happened to the target population if the policy was not implemented.



i. Impact on urban institutions:

- * Ministries Departments and Agencies have altered mission or the direction of their programmes and activities to enhance policy implementation.
- * Collaborations among institutions have been strengthened.
- * There is change of approach in solving urban problems.



ii. Impacts on urban personnel:

- * There are enhanced perceptions on urban development issues.
- * There is improved policy formulation and implementation skills acquired by staff.
- * There are new urban career options, degree of application of disseminated knowledge during trainings.



iii. Commitment to urban:

- * There is increased recognition of specific vulnerable urban groups:
- * There is increased endorsements and implementation of international declarations.
- * Budgetary allocation to urban issues increased.



iv. Knowledge on urban issues:

- * Production of new knowledge and data that influence future research on urban development.
- * Increased educative interactions and awareness on the policy.
- * Increased demand for information on the policy.
- * Increased number of new joint initiatives related to policy.
- * informed and engaged citizenry.
- * Increased number of partners supporting the policy issues:
- * Enacted legislations to support the urban policy:



v. Urban Governance related impacts

- * NUP stakeholders coordinating and implementation institution.
- * Legislative framework and enforcement mechanisms to implement NUP in existence.
- * NUP programmes mainstreamed in and implemented by government department.
- * Stakeholders' participation in implementation and monitoring of NUP programmes.



vi. Spatial Sustainability: impacts

- * More balanced system of urban, regions and cohesion among them.
- * Improved urban and regional competitiveness and balanced accessibility.
- * Existence of integrated urban spatial patterns and designs



vii. Financial Sustainability: impacts

- * Increased and predictable local revenue generation by local governments
- * Streamlined partnerships for exogenous financing opportunities.
- * Equitable and predictable intergovernmental transfers.
- * Enhanced financial management capacities.



viii. Economic Sustainability: impacts

- * Increased investment in urban infrastructure
- * Stability and confidence for investment.
- * Enhanced urban connectivity and increased use of innovative technology.
- * Balanced distribution of affordable infrastructure and public facilities.

**ix. Social sustainability: impacts**

- * Existing institutional mechanisms for marginal communities to participate in urban programmes.
- * Increased access to adequate and affordable housing, basic services, and livelihood opportunities by all social groups.
- * Local needs well addressed in the policy.
- * Social cohesion and security

**x. Environmental sustainability: impacts**

- * Well planned, compact and connected urban developments.
- * Network of urban public and green spaces and services accessible to all.
- * Low energy consumption and promotion of renewable energy.
- * Appropriate building technologies and ecological sound designs
- * Efficient use of natural and conservation of resources
- * Prioritizes implementation of global agendas on environmental sustainability

CHAPTER 05

Steps in Conducting NUP Impacts Evaluation

Impact evaluation by residents © UN-Habitat

In the past policy evaluations had been viewed as a process done to account for resources and less about lessons hence undertaken under external pressures. However, in view of the importance of promoting an urban policy evaluation culture alongside an evaluation strategy, there is need and importance to ***institutionalize urban policy impacts evaluations***. This include embedding the urban policy evaluation logic in responsible policy institution. This not only supports the process but is an indicator of political commitment to urban policy impact evaluation, that may also be supported with statutory requirements. With institutional back-up, the practice of feedback on policy performances is guaranteed for the future. Such institutions may also act as urban 'knowledge centres'. Collecting the evidence of policy uptake involves key steps including:



1. Clarify Policy Intentions

First step includes clarifying the intended goals of the urban policy. What were the specific issues or challenges was the urban policy designed to address? Some of the common objectives include strengthening institutional and technical capacities to manage urban growth, promoting economic growth and competitiveness, promoting inclusive

and participatory planning and governance processes, improving access to safe, affordable, and sustainable housing, urban infrastructure development, reducing traffic congestion, enhancing quality of life, strengthening urban and rural interactions among others. Having a clear sense and understanding of the desired outcomes provides a framework for evaluation.



2. Determine appropriate metrics, relevant data, and source

Ascertaining NUPs impacts require collecting evidence especially at the national government level. The evidence needs to be drawn from data, information from the policy implementation and monitoring experiences, including information published on urban conditions. Quantitative metrics like number of housing and costs, commute times, job and employment numbers, and crime rates can help assess policy impact. However, qualitative factors regarding residents' experiences also matter. Surveys, interviews, and community feedback can complement quantitative data. The available data should reflect the stated goals as closely as possible.



3. Undertake data / evidence collection

While the policy evaluator develops a programme of tools to collect evaluation data and evidence of policy impacts, such programme can be enhanced by the NUP's evaluation framework and data collecting tools. This also need to be coordinated via the national statistical system but that can collaborate with international

statistical agencies,²¹ especially if such data would be used for reporting international development agreements and frameworks such as NUA and the SDGs. However, it's worth noting that the policymaking process will never be simple enough to be amenable to the statistical methods only and especially to precisely demonstrate 'impacts' of a particular intervention. Thus in evaluating urban policies, several other technical approaches and tools can be used to collect evidence and generate useful evidence on the policies, including.

- * Evidence and Advice: Research reports, policy briefs and websites can be monitored and analyzed for outputs showing the influence of evidence and advice. User surveys, logs and new areas for citation analysis can show uptake and use of the urban policy.
- * Longitudinal surveys: Longitudinal surveys have an opportunity to open pathways to policy impact. With regular information collected on behaviors and outcomes throughout the policy process, researchers can examine what has changed following introduction of urban policies.
- * Longitudinal data, combined with greater capabilities in robust evaluation design across policymaking, represents a real opportunity to influence and improve policies.
- * Such reflective policymaking is extremely important to drive change in people's lives.

.....
21 UN-Habitat (2019)



4. Evaluate stakeholders' engagement

Policy formulation and implementation is a complex process. It's influenced not only by process and context, but also by actors involved. Urban policy evaluation needs to assess the extent to which different stakeholder groups and actors have been involved in this process and especially in the achievement of goals and objectives defined in a policy. Urban policy stakeholders can be individual or group who creates, implements, or influences policy, and includes elected officials and lawmakers, bureaucrats, and their advisers (or the "policy makers") as well as lobby groups, media organizations, and researchers, among others. Each of the types of policy stakeholders will likely have their own interests and level of influence and decision-making authority as well as their engagement with the policy making process.²² Evaluate the extent to which they have become advocates and partners to help shape urban policy. How have they invested their knowledge and skill development to help amplify their voices on the policy.



5. Account for unintended consequences

Account for time lags and unintended consequences. For a policy to be fully implemented and produce tangible results takes time. As a result of the time lag, second and third order effects may emerge that alter the intended outcomes. A policy evaluation strategy should consider short, medium, and long-term impact and whether consequences align with the policy's original spirit.

.....
22 Laser Pulse (Undated)



6. Compare results to a plausible counterfactual

Compare the evaluation results to a plausible counterfactual. This includes evaluating what would likely have happened in the absence of the urban policy. It involves comparing outcomes to reasonable alternative scenarios to provide a more robust evaluation and establish the urban policy's true influence.

- * It involves assessing the adaptability for an effective policy solution in one city may fail elsewhere as each community has unique strengths, weaknesses, values, and priorities.
- * Additionally, assess equity and inclusion. This include evaluating who benefits and who is burdened by the policy. Policies should provide equal opportunities and access for all citizens regardless of socioeconomic status, race, gender, disability status, or other factors.



7. Presenting and communicating policy impacts

Communicating policy impact (including early evidence through quick wins) can be crucial to convincing key stakeholders of the merits of the policy and can help champions support long-term implementation (e.g., equipping them to advocate with policymakers for additional resources). Equally at the final evaluation, there is need to evaluate the extent to which the policy has improved practice and to improvement and change of other policies, laws, legislations at the various levels. Connecting policy and practice in meaningful ways can help make real and sustainable change in lives of people

targeted by the policy. Some tips on presenting policy impacts includes:

- » Presenting impact findings and lessons in compelling ways, e.g. evidence-based statistics
- » Avoid technical jargon and research-defined categories and criteria.
- » Present real-life stories and real issues – how policies have changed people's lives.
- » People served / Impacted should be recognizable and well understood.

Challenges to Overcome in NUP Impacts Evaluation

i. Conceptual and technical challenges:

Policy formulation and implementation is undertaken in a very complex environment where sometimes it is very difficult to determine links between policy activities, outputs and perceived change in the community. Sometimes it's difficult to measure inputs and outputs in a policy making process. In other cases, results of a policy process may not be apparent for years and may often exceed the temporary horizons of any monitoring and evaluation exercise.

ii. Nature of policy work and change:

Policy changes tend to occur over long timeframes and are more difficult to detect and measure. As such they may not be suitable to measurement in the usual rhythms of projects and evaluations. Furthermore, it is difficult to judge specific contribution of one

policy to a change even after judgement about contribution or attribution has been made. In other cases, it is more difficult to attribute policy impacts to only one agency / department / ministry since they are often multi-causal actions of several actors.

iii. Practical problems in production and use of knowledge:

Getting the right data and information for policy attribution has been a challenge in many countries. Ministries and Departments involved in policy formulation and implementation rarely have the time, resources and capacity to conduct robust policy monitoring and evaluation procedures at institutional and national levels. According to OECD 2020, many countries face these knowledge production barriers in their evaluations.

These includes challenge of bridging and sharing the knowledge between academic/technical experts and policy makers, who may have different goals, overcoming the heterogeneity and fragmentation of the social and political context and the challenges faced by governments to create and share good, useable, and unbiased data within and outside public administration. Additionally, limited use of evaluation results in policymaking, the absence of a strategy for policy evaluation that promotes a whole-of-government approach, and the limited availability of human resources are equally evident in many countries.

Annex 1: NUP Impacts Evaluation Template

NUP Feasibility Impacts Monitoring Template

1. The situational analysis to understand the urban context in the country is well undertaken in national and subnational level including the following indicators considering political, social, cultural, gender-based, legislation landscape:

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Urban population trends

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Spatial distribution of land, people and resources

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Role and capacity of urbanisation in the socio-economic development of the country

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. Following foundations of a consultative policy development process established:

[Tick as appropriate – each issue carry one point]

- ☐ Clear national leadership
- ☐ Consultative meetings and workshops
- ☐ National urban forums
- ☐ Sub national urban forums
- ☐ Others (specify)

3. The roles of different stakeholder in the NUP process are clearly defined.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

National Government

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Media

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Sub-national government

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Academia and Research institution

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Private sector

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Other stakeholders (Specify)

4. Relevant background studies on feasibility and advocacy materials on the National Urban Policy undertaken have been translate into following deliverables:

[Tick as appropriate]

- ☐ National urban policy note
- ☐ Communication and outreach strategy
- ☐ Discussion paper
- ☐ Feasibility study
- ☐ Political economic analysis

5. Risks and opportunities of urbanization agenda have been identified and risk mitigation strategy developed.

[Tick as appropriate]

- ☐ Identification, analysis, and prioritisation of risks
- ☐ Identification, analysis, and prioritisation of opportunities
- ☐ Development of a risk mitigation strategy

6. A clear policy development strategy/roadmap for an inclusive and participatory NUP to archive long-term objectives and urban sustainability has been developed.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

7. There is consensus building between stakeholders on definition of urban challenges and articulation of the vision of National Urban Policy.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

NUP Diagnostic Impacts Evaluation Template

To evaluate how impactful NUP diagnostic process was, the following questions would be important:

1. NUP diagnostic framework clearly define the need and opportunities for a NUP by giving a context and analysing the key elements below:

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Urbanization drivers, trends, and projections

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Urban legislations and regulations

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Urban planning and related enforcement tools

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Housing policies and regulations

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Infrastructure and basic services

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Urban economy and municipal financing

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Network of urban areas

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Environmental regulations and climate resilience

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Cross cutting issues (name them)

- Urban policy problems and objectives are identified and defined with a participatory process.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

- Urban policy problems and objectives are identified and defined with an inclusive process and gender neutral mode.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

- A clear list of policy goals and objectives have been identified and consultatively developed.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Policy Goals

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Policy Objectives

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

- All the key stakeholders were identified, involved and consulted in the different stages of the urban policy diagnostic process. *[Define the role where applicable]*

Issues Stakeholders	Y/N/NA	Definition and analysis of urban challenges	Definition of policy problems	Definition of Policy goals and objectives
National Government				
Academia				
Civil Society				
Private Sector				
Sub national government				
Media				
Financial institutions				
Legislative arms of government				
Research organisations				
Development partners				

Marginalised / vulnerable groups				
Advocacy groups				
Others (Specify)				

6. There was participatory and clear identification of catalytic and quick win interventions to demonstrate policy benefits.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

7. An action plan with effective NUP development and implementation strategies have been developed:

[Tick as appropriate]

- ☐ Action plan
- ☐ Resource mobilisation plan
- ☐ Partnerships development
- ☐ Capacity development
- ☐ Communication and information sharing
- ☐ Monitoring and evaluation strategy

NUP Formulation Impacts Evaluation Template

1. Best policy options to resolve problems and achieve policy goals are identified in an inclusive and participatory manner including all stakeholders.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. The identified policy goal and objectives supplement existing national policies.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

- Policy options were evaluated and assessed on their potential strengths and weaknesses to address the policy goals.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Policy options adequately address policy goals.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Stakeholders participated in identification of the policy options.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Policy options have no foreseen adverse effect or negative impacts.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Policy options are the most cost and time effective.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Policy options consider the government and stakeholder capacities to implement.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

- Policy options are aligned with following multi-level institutional frameworks:

Policy options are consistent and complement other national and sub-national priorities.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Policy options align with the international development agenda and frameworks such as NUA, SDGs (SDG 11) and Agenda 2030

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

- The following resource and capacities to implement policy proposals identified and evaluated

[Tick as appropriate]

Resource	Evaluated Y/N/NA	Gaps identified Y/N/NA	Possible solutions identified Y/N/NA
Human resource			
Financial resources			
Institutional Capacities			

4. The policy proposals were formulated through consensus process involving participation of all stakeholders.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

5. The policy proposals identified have included all the following key qualifiers of sustainable urban development

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Compact urban growth and development

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Better integrated cities and human settlements

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Better connected urban areas

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

6. Policy proposals have given detailed attention to different thematic areas.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Urban governance

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Economic development

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Spatial structure and management

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Human development and social sustainability

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Environmental sustainability and climate resilience

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

7. Capacity of actors and stakeholders to engage and address gaps in policy formulation and diagnostic phase has been improved for the implementation phase.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

8. The policy proposals set out realistic results that are specific, measurable, achievable, relevant and time-bound (SMART)

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

9. The right programmes/actions related to the NUP implementation being identified.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

NUP Content Evaluation

Urban Governance:

1. Adequate institutional frameworks to support NUP implementation have been developed.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

A leading and coordinating public institution for NUP is assigned.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Role and responsibilities of subnational governments is clearly defined.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Role and responsibilities of national governments is clearly defined.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Mechanisms to consult private, non-profit, academia and other institutions exist.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Effective public-private partnership exists in municipal management level.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. NUP proposes enabling legal and regulatory framework of actions to facilitate its implementation.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

NUP proposes new and comprehensive urban legislations.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

NUP ensures existing legal and regulatory framework is functionally sufficient to provide policy proposals and implementation.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

The framework provides delineation roles of spheres of government.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

3. Decentralisation of autonomy, power and resources in institutional framework is enabled by providing local institutions independency on generating funding and decision making.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

4. Legislative framework of urbanization is supportive to planning objectives

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Regulate land supply in cost and time efficiency way.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Land regulation process is transparent.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Legislative framework addresses densification of urban fabric

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Legislative framework allows an orderly and resilient urban growth.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Regularizes informal settlements.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

5. Legislative framework has a well-thought-out enforcement mechanism.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Addresses the targeted urban problems.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Has clear, practices and unambiguous rules.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Allow monitoring and evaluation of the results with clearly identified indicators.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

6. Legislative frameworks include the key regulations such as: land, housing, environmental protection, human rights, social inclusion, urban-rural linkages, institutional collaboration and equality.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Spatial Sustainability

1. The policy recognize the complementarity and interdependency of an integrated system of urban areas.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. The diversified policies are suggested to plan and manage the spatial distribution of the urban population and possible migration.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

3. Emerging spatial patterns in urban areas are clearly analysed and defined in a consultative manner.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

4. Trends, problems and opportunities in spatial distribution are defined.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

5. Productive roles and potential of cities and towns are identified by maximizing the benefits of investments.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

6. Future spatial development vision is defined in national and sub-national levels.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

7. Tools and instruments for spatial development are established.

[Tick as appropriate]

☐ National, territorial and urban level of strategic plans

☐ National, territorial and urban level of action plans

☐ Regulation, coordination and monitoring body

8. The policy promotes innovative methods of urban design, planning and management in following key areas.

[Tick as appropriate]

☐ Compactness

☐ Connectivity

☐ Inclusiveness

☐ Adequate spatial distribution of land

☐ Urban growth management

9. There is a data collection and analysis system for urban spatiality.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

10. There is a regulatory, coordination and monitoring body regarding spatial management.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Financial Sustainability

1. Financial strategies increase the fairness in intergovernmental transfers.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. Empower and enhance urban authorities on following areas to increase local revenues

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Enhance collection of taxes and rates

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Land value capture sharing

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Tax reforms

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Public asset management

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Others (specify)

3. Enhance exogenous financing mechanism.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Public-private partnership

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Improving urban government credit worthiness

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Sale of bonds

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Borrowing from private banks

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Others (specify)

4. The policy expand the financial management capacity with following elements

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Trainings in revenue collections and management

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Improvement in applying IT solutions in financial management

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Identification, design and appropriately packaging of bankable projects

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Budgeting, procurement, financial reporting, auditing, and transparency in financial transactions

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

5. The policy suggest financial strategies on planned urban expansion that aims reducing urban sprawl, decrease spatial inequalities, regulate land and property markets.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Transportation, Infrastructure and Mobility

1. NUP promote investment and development of urban connectivity including public transport and multi-modality.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. NUP has explicit reference to “smart city” approaches including an expanded use of technology in the planning, operation and maintenance of infrastructure networks

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

3. NUP incorporate strategies that address impacts of transportation to climate change, promotes carbon zero infrastructure and consider public health.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

4. NUP has strategies to enhance balanced geographical distribution and accessibility of public facilities and infrastructure for economic development.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

5. NUP has strategies to enhance affordability of public facilities and infrastructure for economic development.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Socio-economic sustainability

1. NUP focus on reducing inadequate housing and increase housing options for all parts of urban population with following elements:

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

Including development of the property and rental markets

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Enhance diversity in housing supply including review of building codes to ensure affordability is promoted.

Promote energy-efficiency in different housing options.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Promotes appropriate housing finance systems including mobilization of household savings towards adequate housing.

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

NUP promotes appropriate access to basic services and urban livelihood opportunities especially in informal settlements and slum areas

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. NUP promotes appropriate access to basic services and urban livelihood opportunities especially in informal settlements and slum areas:

[Tick as appropriate]

- ☐ Affordable public transportation
- ☐ Public education
- ☐ Water and sanitation systems
- ☐ Health facilities (universal basic health care)
- ☐ Community services
- ☐ Public space

3. NUP increase social inclusion programmes, strategies and infrastructure with considering following marginal communities:

[Tick as appropriate]

- ☐ Women
- ☐ Youth
- ☐ Elderly
- ☐ Disabled
- ☐ Ethnic minorities
- ☐ Migrants
- ☐ Economically disadvantaged

4. NUP suggests and promote capacity development programmes for socially vulnerable communities.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

5. NUP enhanced institutional representation of socially disadvantaged groups.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Environmental Sustainability

1. NUP discourage sprawl and promotes building design and urban forms that encourage compact, connected and low-carbon urban development and to reduce GHG emissions.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. NUP propose steps to promotes:

[Tick as appropriate]

- ☐ Clean energy consumption
- ☐ Improved air, soil and water quality
- ☐ Sustainable transportation and mobility patterns
- ☐ Data collection methods and analysis on pollution levels

3. NUP prioritize design, production and use of urban public and open spaces that address the needs of all.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

4. NUP promote a multi-sectoral and coordinated approach to services provision taking fully into consideration their impacts on the environmental quality and public health.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Relevance of content

1. The urban policy clearly and satisfactorily frames areas as highlighted in the diagnosis.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. The policy proposals address urban development challenges in the country.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

3. The policy strategies articulate an implementation logic to achieve the policy goals and objectives hence intended change.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

4. The key stakeholders agree on the policy goals, objectives and strategies.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Adequacy of policy content

1. The policy objectives are adequate to address policy problems.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. The policy strategies address urban challenges from the diagnostic stage.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

3. The policy time horizon is adequate to achieve stated objectives.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

NUP Implementation Impacts Template

1. The implementation plan with following clearly defined components has been developed:

[Tick as appropriate]

- ☐ Clear and achievable policy decisions
- ☐ Clear and achievable policy objectives
- ☐ Clear, achievable and realistic expected policy outcomes
- ☐ Clear implementation actions
- ☐ Measurable indicators that can be monitored
- ☐ Assigned roles and responsibilities for all stakeholders
- ☐ Implementation timeline

2. There are clear and adequate mechanisms for funding and financing NUP actions.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

3. There are explicit capacity development efforts to build government and stakeholders efforts in urban sector policy implementation.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

4. Implementation analysis to identify any gaps missed during formulation has been undertaken.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

5. There was continued communication and awareness creation on why the policy is necessary among stakeholders.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

6. Implementation plan was developed and approved in consultation with relevant stakeholders.

[Tick as appropriate]

- ☐ National Government
- ☐ Sub national government
- ☐ Academia and research organizations
- ☐ Civil society and NGOs
- ☐ Private sector
- ☐ Media
- ☐ Financial institutions and development partners
- ☐ Marginalised / vulnerable groups
- Others (specify)

7. Inputs and resources required to implement the policy objectives were available.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

8. Skills and capacities of relevant stakeholder were improved to enhance execution of different policy thematic proposal.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

9. Relevant stakeholders took up their implementation roles and responsibilities:

[Define the role where applicable]

Stakeholder type	Assigned stakeholder	Roles and Responsibilities
National Government		
Sub national government		
Academia and research organizations		
Civil society and NGOs and advocacy groups		
Private sector		
Media		
Financial institutions and development partners		
Marginalised / vulnerable groups		
Others (specify)		

10. All the key thematic areas policy proposals have been translated into realistic, applicable legislations that provides high quality, evidence-based interventions.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

11. The relevant research with data analysis and pilot studies has been undertaken to measure and report policy development level.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

12. The implementation actions targeted the right beneficiaries.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

13. The planned activities to implement different policy strategies were completed during policy implementation phase.

[Assign percentage of completion of the below issues.]

1: 1-20 % 2: 20-40% 3: 40-60 % 4: 60-80% 5: 80-100 %

14. The implemented activities have translated into the anticipated outputs for informing all stakeholders and measure impact.

[Assign percentage of completion of the below issues.]

1: 1-20 % 2: 20-40% 3: 40-60 % 4: 60-80% 5: 80-100 %

15. There are no any unintended consequences as a result of the policy implementation

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

16. There are no external factors that influenced the implementation of the policy proposals.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

NUP Impacts Monitoring and Evaluation Template

1. There is an ongoing monitoring and evaluation programme with clear indicators system.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

2. There is a capable assigned stakeholder that hold monitoring and evaluation programme effectively, fair and transparently.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

3. Role and responsibilities of monitoring and evaluation facilitators are clearly defined

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

4. There are constant feedback mechanisms “feedback loop” on monitoring and evaluation.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

5. Reported information in terms of effects and outcomes by stakeholders is clear and well stipulated by monitoring team.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

6. The reports collected by different stakeholders are analysed successfully, outcomes and feedbacks are shared with stakeholders.

[Assign level of articulation of the below issues. (1: Least articulated 5: Well-articulated)]

① Strongly disagree ② Disagree ③ Partially agree ④ Agree ⑤ Strongly agree

Evaluating Cross Cutting Issues and Themes

1. Clarity and structure

[Tick as appropriate]

- ☐ The use of language and terminology consistent across all documents
- ☐ All concept and key terms are defined clearly and adequately.
- ☐ The policy written in a manner that can be understood by a wide audience
- ☐ It is clear that whom and what the policy applies
- ☐ There are no contradictions or redundancies within the policy.
- ☐ The areas for action are written in a way that commits the Government (e.g. do they state “will” instead of “should”)
- ☐ The policy goals and objectives were consistent through all documents and phases.

2. Alignment and coordination

[Tick as appropriate]

- ☐ The policy was aligned by sub-national development frameworks
- ☐ The policy was aligned and support the regional frameworks. (within country regions or global regions?)
- ☐ The policy was aligned with the national government vision and aspirations.

- ☐ The policy was aligned with 2030 Agenda framework
- ☐ The policy was aligned with National Urban Agenda framework
- ☐ The policy was aligned with SDG 11
- ☐ The exchange taken place with other countries concerning their urban policy process and experience in National Urban Forum.
- ☐ The policies within the country and other countries with similar cultural and demographic patterns have been examined and integrated where relevant.
- ☐ The policy specifies a multi sectoral body/facilitator/position to coordinate the impacts and outputs.
- ☐ Collaborations among all stakeholders for policy implementation have been strengthened.
- ☐ All the sectors have been examined for comparison to avoid redundancies and contradiction.

3. Participatory and inclusive approach

[Tick as appropriate]

- ☐ There is an inclusive and accountable collective decision-making process for fundamental urban issues
- ☐ There is an increased civic engagement and community participation
- ☐ There is increased interest and openness among the key stakeholders on the urban policy and its proposals

4. Capacity development

[Tick as appropriate]

- ☐ There are enhanced perceptions on urban development issues
- ☐ The development areas comprehensively address advocacy to raise awareness on urban issues
- ☐ There is increased recognition of specific vulnerable urban groups
- ☐ There is improved policy formulation and implementation skill acquired by governmental staff
- ☐ There are new urban career options, degree of application of disseminated knowledge during trainings
- ☐ There is a visible change of approach in solving urban problems

- ☐ There are increased number and quality of meetings and educative interactions between all stakeholders
- ☐ There is increased demand for information during and after the implication of the policy
- ☐ There is increased number of partners/stakeholders supporting the urban policy issues comparing before National Urban Policy process.
- ☐ The policy opened a new space of policy dialogue.
- ☐ Capacities and skills of stakeholders have been enhanced for effective policy implementation.

5. Impact efficiency analysis (this can be part of implementation phase)

[Tick as appropriate]

- ☐ The right actions/programmes related to NUP implementation is taken
- ☐ The overall goals and objectives of the policy is well achieved
- ☐ The programmed targeted the right beneficiaries
- ☐ NUP was effective in terms of cost and time
- ☐ There is an increased budget allocation to policy enhancements in urban issues
- ☐ The allocated funds for implementation were spent appropriately
- ☐ The NUP goals and objectives are achieved in planned time frame.

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For further information, please contact:

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