



# VOLUNTARY REPORTING GUIDELINES

## FOR SDG INDICATOR 11.a.1

### Step by Step Module for Governments



## **Voluntary Reporting Guidelines for SDG Indicator 11.a.1: Step by Step Module for Governments**

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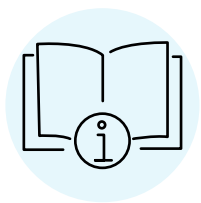
## **FOR SDG INDICATOR 11.a.1**

### Step by Step Module for Governments

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# About the SDG 11.a.1 Review Guide

The important role of urban policies for sustainable development has in the recent past gained prominence than ever before. The adoption of the 2030 Agenda for Sustainable Development in 2015 and the New Urban Agenda (NUA) in 2016 have provided a strong rationale for countries to develop, implement and/or review their National Urban Policy frameworks.

The NUA places explicit emphasis on National Urban Policy as one of its five pillars of implementation. Similarly, in 2019, National Urban Policy was adopted as the main tool to monitor SDG 11, through Indicator 11.a.1. These efforts show the crucial role governments can play and call for measures to enhance the ability of such governments to develop, implement and monitor such over-arching policies.

This SDG 11.a.1 Reporting Guide supports national governments in monitoring and evaluation of SDG 11, target 11.a: **Support positive economic, social, and environmental links between urban, peri-urban, and rural areas by strengthening national and regional development planning.**

Specifically, the guide helps member States track the implementation of, and assess whether NUPs contain the elements of the indicator **11.a.1**, which relates to **“Number of countries that have national urban policies or regional development plans that:**

- a. respond to population dynamics,
- b. ensure balanced territorial development,
- c. increase local fiscal space.

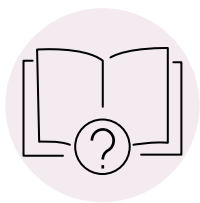
The guide provides the rationale for the use of national urban policies and regional development plans in implementing and monitoring the indicator, including the process of collecting and using relevant data for reporting.

The guide complements other SDGs and national urban policy monitoring and evaluation guides and frameworks at national and global levels. Specifically, this guide should be read together with **Methodology and Metadata on SDG Indicator 11.a.1**. [\[see link\]](#), whose methodology it complements by breaking down the meta data and giving step by step process on how it need to be applied in reviewing SDG indicator 11.a.1.

This guide seeks to enhance Member States efficiency and effectiveness in collection of NUP and Regional Development Plan data related qualifiers in the indicator. It aims to help identify, collect experiences (challenges and lessons learned), with a view to informing accelerated implementation.



Metadata  
on SDGs



## Why the NUP Voluntary Reporting Guidelines?

The success of voluntary reporting is determined by member State's ability to translate the 2030 Agenda into a nationally owned vision and objectives for transformative action. Member States recognise NUP's potential to advance the 2030 Agenda for Sustainable Development, measured not only in its contribution to SDG 11 but also to other sustainable development goals.

As a coordinating mechanism, NUP can facilitate the process of achieving sustainable urban development as a shared responsibility across countries, regions, and cities. To achieve this, the voluntary national reviews and reporting are important to all countries. Such review not only accelerate implementation, monitoring and review but also enhance mutual learning across countries and facilitates sharing of experiences, (including successes, challenges and lessons)

from different countries while mobilizing support and partnerships for the SDGs implementation. Furthermore, the guide recommends an inclusive, participatory, and transparent process of data collection at national and sub-national levels. Such a process would deliver data that is evidence-based, has tangible lessons and solutions, and especially when they are followed with concrete actions.

While various other diagnostic initiatives on national urban policy reviews have been undertaken, this guide provides a methodological process and an assessment framework for identifying and attributing value to different elements that need to be satisfied by the different development-oriented urban policies and regional development plans.



## Target Users of the Guide



- ➡ The primary intended beneficiaries of this guide are member States, to support them as they conduct national reviews and reporting on SDGs Indicator 11.a.1.



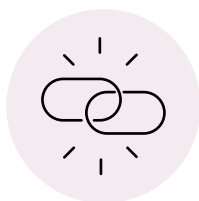
- Specifically, it is designed for use by policy makers and technical personnel within ministries, departments and agencies leading the design, formulation, implementation, monitoring, and evaluation of NUPs and Regional Development Plans (RDP).



- The guide is also beneficial to specialised national statistical agencies staff members mandated with collecting, measuring, and compiling national development data.



- This guide could also be used by general national development planning agencies, and professional and academia institutions aiming to understand the impacts of implementation of national urban policies. It provides useful insights to all stakeholders committed to effective implementation of the 2030 Agenda and can be used on a voluntary basis.



## Linkages to National Reviews

The 2030 Agenda for Sustainable Development encourages member states to conduct regular and inclusive reviews of progress at the national and sub-national levels in relation to the progress made in implementing the Goals and targets.

The reviews should be country-led and country-driven and are expected to be regular and inclusive processes with a clear system for ensuring high quality, accessible, timely and reliable disaggregated data that measure implementation progress and take stock of the challenges at both levels.

The process aims to **facilitate sharing of these experiences**, including successes, challenges and lessons learned, with a view to accelerating the implementation of the 2030 Agenda. They also serve to improve **evidence and data on the SDGs** and to **strengthen government policies and institutions**; and to mobilize multi-stakeholder support and partnerships to implement and monitor progress on sustainable urban and regional development. In the case of NUP, such reviews should be led by ministries and relevant actors implementing and monitoring the urban policy.





## NUPs and Monitoring of Target 11.a.

The 2030 Agenda comprises of 17 SDGs and 169 targets, followed up and reviewed using a set of global indicators focused on measurable outcomes. Most of the SDGs and their indicators have a clear impact on cities and human settlements. Thus, success of the 2030 Agenda and the SDGs will largely depend on how urbanisation is co-ordinated and managed. Equally, the interlinkages between SDGs and NUP is broad and wide-ranging.

The cross-sectoral and multi-faceted nature of NUPs directly contributes to **SDG11** (***"Make cities and human settlements inclusive, safe, resilient and sustainable"***) and makes significant contribution to implementation of other SDGs.

Thus, this guide, generally support implementation of Agenda 2030, by specifically implementing review of SDG target 11.a ***"Support positive economic, social, and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning"*** and especially **Indicator 11.a.1: "Number of countries that have national urban policies or regional development plans that:**

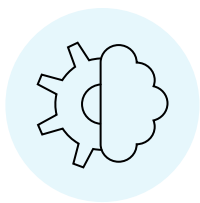
- a) respond to population dynamics,
- b) ensure balanced territorial development,
- c) increase local fiscal space.

The indicator is an important assessment on global progress on sustainable national urban policies.

SDG target 11.a. is based on the notion that the development and implementation of NUP should support participation, partnership, cooperation, and coordination of actors as well as facilitate dialogue. Through the National Urban Policy (NUP) and Regional Development Plans (RDP), coordinated and connected urban development is promoted. Such coordination led by the government provides the best opportunity for achieving sustainable urbanization and balanced territorial development not only by linking sectorial policies, connecting national, regional, and local government policies, but also strengthening urban, peri-urban, and rural linkages.

Furthermore, NUPs provide a framework to harness urbanization dividends, by giving attention to impact of sectorial policies on sustainable development of cities but also by enabling vertical and horizontal government policies coordination.





# Rationale for Monitoring SDG 11.a.1

SDG indicator 11.a.1. is one of the key metrics to benchmark and monitor urbanisation and asserts the national leadership and political will of national governments. This indicator is based on the notion that the development and implementation of national urban policies should support participation, partnership, cooperation, and coordination of actors and facilitate dialogue. National Urban Policy (NUP) and Regional Development Plans (RDP) promote coordinated and connected urban development.

A coordinated effort from government through a NUP or RDP provides an effective opportunity for achieving sustainable urbanization and balanced territorial development by linking sectorial policies, connecting national, regional, and local government policies, strengthening urban, peri-urban and rural links through balanced territorial development. This indicator provides a good barometer on national and global progress on sustainable national urban policies.

The indicator is strongly connected to other SDGs goals and targets and can identify good practices and policies among countries that can promote partnership and cooperation between all stakeholders.

## Previous NUPs Monitoring and Reporting

Global monitoring and reporting on NUPs and Target Indicator 11.a.1 have previously been conducted through the **Global State of National Urban Policy** (GSNUP) reports<sup>1</sup>. The reports follow a defined methodology that include among others a dedicated assessments across the world on NUP formulation, implementation, monitoring and evaluation.

The report has served as a critical source of data, information and analysis for policymakers and urban professionals as it establishes the foundation for understanding how and in what forms NUPs have been developed, implemented, and monitored globally.<sup>2</sup> In the absence of methodological guidance, the report collects quantitative and qualitative information through brief explanations of their selection for each of the qualifiers, see Box 1.

<sup>1</sup> This is and initiative of the National Urban Policy Programme (NUPP), led by UN-Habitat, OECD and Cities Alliance

<sup>2</sup> OECD/UN-HABITAT/UNOPS (2021) Global State of National Urban Policy

## Box 1. Monitoring SDG 11.a. through NUP

### Bulgaria

In formulation and implementation of its National Urban Policy, Bulgaria has incorporated all the three qualifiers for the SDG target 11.a. To ensure balanced development of Bulgarian regions and to overcome negative demographic trends, the National Concept for Spatial Development (NCSD) and the country's regional development plan are based on regional socio-economic and demographic trends. Furthermore, fiscal support and transfer for regions, cities and municipalities are stipulated, with population as a main distribution criterion. NCSD recommends moderate polycentrism to ensure the balanced territorial development of Bulgaria.

### Costa Rica

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

Source: OECD/UN-HABITAT/UNOPS 2021



San Jose Costa Rica capital city street view with mountains in the back © Mbrand85/Adobe Stock



Facades of buildings of different colors on a street in Kardhali in Bulgaria © Toyakisfoto/Adobe Stock

These guidelines augment the data previously collected using Global State of National Urban Policy reports by encouraging countries to voluntarily undertake national review and reporting on NUP processes and especially their contribution to achieving SDGs indicator 11.a.1.

It adds into the methodological work of assessing the qualifiers by developing a criterion to be satisfied by member states by attributing values to the relevant development-oriented policy.



# Sources of data

The guide has been designed to support data collection at the country level for aggregation at the global level. Policy evaluators need to undertake content analysis and opinion surveys on country specific official documents such as National Urban Policies, Frameworks,

Strategies, etc. available at national or regional levels as possible sources of data. Such data would be used to calculate the five categories of assessment, (see Box 2) for each of the three qualifiers as spelt out in the **Methodology and Metadata on SDG Indicator 11.a.1**. [\[See link\]](#)

## Box 2. The Five Categories

**Category 1:** Policy document does not make any reference to the qualifier, or the country is not developing or implementing a policy (no national urban policy exists).

**Category 2:** Policy document makes some reference to the specific qualifier, but this qualifier is not integrated in the diagnosis and recommendations of the policy.

**Category 3:** Policy document integrates the specific qualifier, but this qualifier is poorly understood or misinterpreted.

**Category 4:** Policy document integrates in a cross-cutting perspective the specific qualifier without clear policy recommendations.

**Category 5:** Policy document integrates and mainstreams the specific qualifier with clear policy recommendations derived from the qualifier.

Each category is assigned a percentage bracket, as follows:

- » Category 1: 0 per cent
- » Category 2: 1-25 per cent
- » Category 3: 26-50 per cent
- » Category 4: 51-75 per cent
- » Category 5: 76-100 per cent



# The Review Process

This section discusses the methodology and the process to be used by countries to review their NUPs and RDPs. The section presents methodological tools to analyse and evaluate components of policies and regional development plans and assess the extent the three qualifiers of SDG 11.a.1 have been integrated. Computing qualifier values

To reduce bias, urban policy or regional development plan need to be evaluated by four independent policy evaluators. Each of the evaluators will assess, compute and assign each of three qualifier a category value ranging from 0 – 100%. To compute the final value of each of the qualifier an average value of all four evaluations is calculated.

To determine the value of NUP indicator, an average of the value of each of the three qualifiers is calculated as the final value for the indicator 11.a.1. Countries that fall into categories 2 and 3, which correspond to 1 – 50% points, are not counted as “countries that are developing and implementing a national urban policy or regional development plans”. These countries are encouraged to deploy efforts in order to improve national urban policies or regional development plans. Countries that fall into categories 4 and 5, which correspond to 51 percentage points or more in the assessment, are considered as “countries that are developing and implementing a national urban policy or regional development plan” that contribute to the achievement of Target 11.a.. See [link](#)



Thematic Work plans © UN-Habitat



## Qualifier 1: Responds to Population Dynamics

Policies and plans should respond to population dynamics. The spatial distribution of the rapidly increasing urban population are closely linked to developmental challenges and opportunities.<sup>3</sup> In most cases urbanization challenges stem from policy and their implementation, that are outpaced by population growth and policy options that may not prioritize inclusive development all current and future urban residents.

Together, these two factors strain provision of infrastructure and basic services causing socio-economic and environmental damages. This first qualifier examines how NUPs, and RDPs addresses urban population composition, trends, and projections towards achieving development goals and targets. It is based on the premise that grounding policies and plans in the most current and comprehensive spatial and demographic data and projections is a prerequisite for successful implementation and ensure that they are not outpaced by population growth.

It calls for policy to forecast demographic trends and related needs including land and infrastructure services at its development. Forecasting demographic trends and needs in the diagnosis phase of urban policy and development plan enables governments to plan

for urbanization to provide adequate land and infrastructure services in a more cost-effective and less socially disruptive way than trying to catch up, repair and upgrade uncontrolled urban expansion.

This process of developing urban policies and plans can also be the occasion to improve national data collection on urban areas, and serve other SDG 11 indicators, as well as provide a baseline for monitoring the outcomes of such interventions.

### A. Qualifier 1 Evaluation

This section evaluates extent to which NUPs and RDPs benefit from quality and timely data on population dynamics within the country.

### B. Population Trends and Projection

Quality and timely data on urban and rural population composition, trends, and projections are available for use in the development, implementation, and monitoring of NUP or RDPs. Please note that where a country has both an NUP and RDP, only evaluation of one of these frameworks will be necessary, as this will help avoid duplication.

<sup>3</sup> United Nations, Department of Economic and Social Affairs, Population Division (2016). Policies on Spatial Distribution and Urbanization: Data Booklet (ST/ESA/SER.A/394).

## 1. Population Trend and Projection Issues

Please rate your National Urban Policy / Regional Development Plan (RDP) on whether it qualifies on the below listed population trends and projection elements. Using a scale of 0 – 5, please rate and score either your NUPs or RDP and insert the score in the boxes provided where:

- » 0 indicates the population trend or projection<sup>4</sup> element under consideration is not available and
- 5 indicates the trend or projection of the population element under consideration is available and adequately discussed. The highest score attainable by any single NUP or RDP for this section is 50 points.

Population Elements	NUP		RDP	
	Trends	At least 5 Years Projection	Trends	At least 5 Years Projection
Population size (Urban / Rural)				
Age and gender disaggregation				
Population density and distribution				
Household size and composition				
Population migration and mobility				
<b>TOTAL</b>				

<sup>4</sup> Population trend is the direction of change in the total number of persons inhabiting a country, city, district or area, while projection is a picture of what the future size and structure of the population by sex and age might look like.

### C. Policy Strategies and Recommendations

This section assesses if the NUP or RDP has developed clear policy recommendations and strategies / interventions to influence the spatial distribution<sup>5</sup> of urban population in their countries over the time frame of the plan.

#### 2. Population Trend Strategies and Recommendations

On a scale of 0 – 10 please rate the population trends and dynamic policy strategies / recommendations proposed by your NUP / RDP (where 0 = they do not exist and 10 = they are clearly spelt and defined). **The highest score attainable by either NUP or RDP for this section is 50.**

	0	1	2	3	4	5	6	7	8	9	10
1. NUP / RDP has clear and specific strategies/interventions to manage population growth and distribution.											
2. The NUP / RDP has strategies to address inequalities in cities by providing opportunities for all urban residents, in particular by ensuring that urban development is sensitive to vulnerable urban populations.											
3. The NUP / RDP has clear recommendations / strategies for promoting rural development. <sup>6</sup>											
4. The NUP / RDP has strategies that encourage uniform population distribution patterns.											
5. NUP / RDP accommodates population growth, while conserving and respecting natural and socio cultural resources including managing unsustainable sprawl of population into environmentally fragile / high risk (e.g. flood exposed) zones and the agricultural areas.											
<b>TOTAL</b>											

<sup>5</sup> Spatial distribution refers to the pattern / organization of population over a geographical area. It may be dispersed, formation of agglomeration, linearly spread among others.

<sup>6</sup> This may include creating employment, public private investment in infrastructure and services, relocation of industries to rural areas among others





## Qualifier 2: Balanced Territorial Development

Globally, cities are rapidly growing, into the urban fringes – zones of transition from urban to rural – straining their capacity to provide adequate infrastructure services and impacting on their liveability.<sup>7</sup> The peri-urbanisation is inevitable.

The rapid expansion is responsible for many unprecedented and complex environmental challenges.<sup>8</sup> The conversion of agricultural lands to residential use through fragmentation is threatening natural resource base, food production and the ecosystem services. Resultant sprawling cities demand more energy supply, transport infrastructure and is responsible for increase in greenhouse gas emissions, air, and noise pollution.

**Balanced territorial development** is a transdisciplinary and multi stakeholder approach that aims to help policy makers deliver liveable, sustainable, and resilient urban, peri-urban and rural areas. It's concerned with three key themes: place, people and planning.<sup>9</sup> It aims to improve liveability, provide opportunities for businesses and commerce, jobs and facilitate affordable housing for different levels of society.<sup>10</sup> It requires development approaches that are integrated and inclusive, necessitating better synergies between communities, urban and rural spaces. In reference to urban, peri-urban and rural continuum, **balanced territorial development** require that policies and plans adopt a broad territorial perspective.



Aerial view showing expansion of urbanization and mass housing into agricultural land and rice fields in southeast Asia. Luzon island, Philippines © Cheryl Ramalho/Adobe Stock

<sup>7</sup> B. Maheshwari et al. (eds.) (2016), *Balanced Urban Development: Options and Strategies for Liveable Cities*, Water Science and Technology Library 72, DOI 10.1007/978-3-319-28112-4\_1

(PDF) *Balanced Urban Development: Is It a Myth or Reality?* Available [here](https://ec.europa.eu/regional_policy/sources/activity/urban/leipzig_report.pdf): [accessed Oct 19 2022].

<sup>8</sup> [https://ec.europa.eu/regional\\_policy/sources/activity/urban/leipzig\\_report.pdf](https://ec.europa.eu/regional_policy/sources/activity/urban/leipzig_report.pdf)

<sup>9</sup> B. Maheshwari et al. (eds.) (2016)

<sup>10</sup> B. Maheshwari et al. (eds.) (2016)

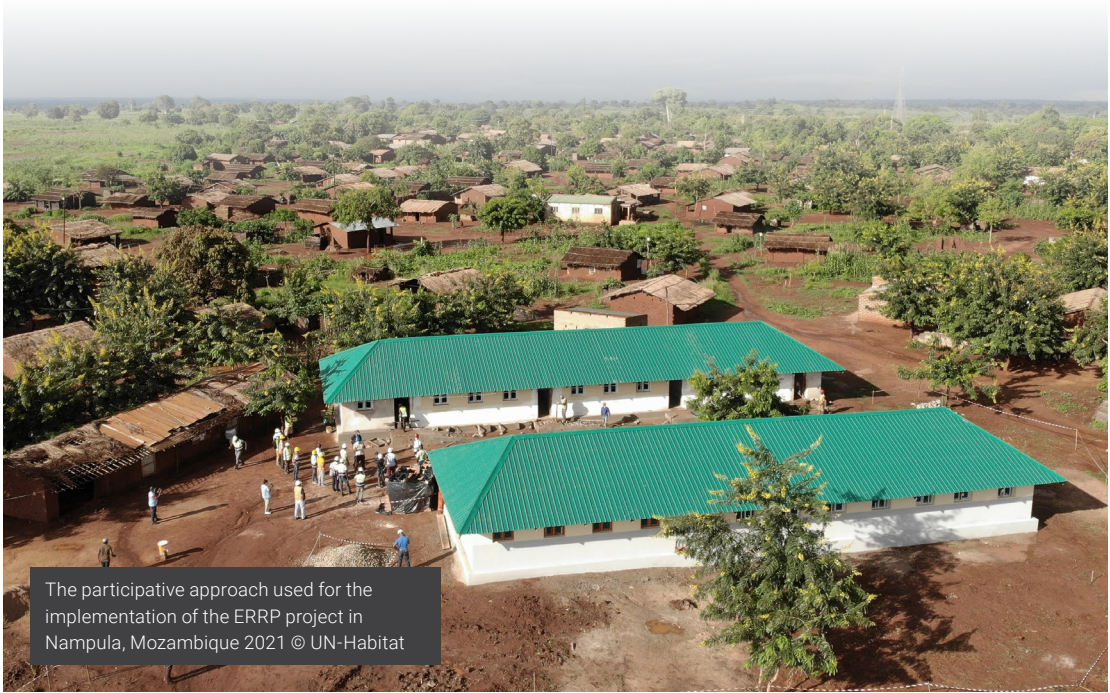
It also requires consideration of the linkages and flows from urban to rural areas not only to reduce social, economic and environmental disparities but also to promote distinctive strengths and encourage beneficial interactions. As such, governments need to address in their urban policies the complex challenges posed by expanding cities as an essential element of sustainable urban development. A NUP that adequately promotes balanced territorial development is one which promotes equitable investment throughout the country

### A. Balanced Territorial Development Evaluation Issues

Spatial sustainability is an indispensable component of any progressive NUP. It conjures up benefits of balanced territorial development including stronger connectivity between cities, towns and rural areas, to promote their distinctive strengths and to encourage mutually beneficial interactions in the interests of national prosperity and inclusive growth. A national government can use the below guiding questions to evaluate if their NUP promotes balanced territorial development:



*Effective NUP and RDPs recognise the importance and the need for a balanced development along the urban, peri urban and rural continuum: It recognises the linkages – social, economic, environmental, and spatial – along the continuum with the ultimate goal of strengthening them.*



The participative approach used for the implementation of the ERRP project in Nampula, Mozambique 2021 © UN-Habitat

## 1. Balanced Territorial Development Issues

On a scale of 0 – 10, please rate the issues identified as important by your NUP or RDP to support balanced territorial development along the urban rural continuum (where 0 = issues do not exist in NUP or RDP and 10 = the issues are clearly identified and defined).

The highest score attainable by any NUP or RDP for this section is 50.

	0	1	2	3	4	5	6	7	8	9	10
1. NUPs or RDPs recognise urban, peri-urban and rural areas are connected / linked across different administrative boundaries.											
2. Policies and plans recognise unique characters, strengths, challenges, opportunities and beneficial interactions in and between urban, peri-urban and rural areas.											
3. NUPs or RDP highlight the need to reduce disparity across urban, peri-urban and rural areas through, inter alia, inclusive public and private investments in infrastructure and services.											
4. The policy / plans acknowledge the need for spatially coherent territories and balanced regional development.											
5. NUPs or RDPs examines and recognises the need to protect agricultural protected land among other environmental resources of strategic significance across urban, peri urban and rural areas.											
<b>TOTAL</b>											

## 2. Policy Strategies and Recommendations

Effective NUP / RDP need to develop clear policy recommendations and strategies on balanced development along the urban, peri urban and rural continuum over its implementation time frame.

On a scale of 0 – 5, please rate the policy strategies / recommendations proposed by your NUP/ RDP (where 0 = policy strategy / recommendation is not available and 5 = policy strategy / recommendation they are clearly spelt and defined) to address balanced development along the urban, peri urban and rural continuum.

**The highest score attainable by either NUP or RDP for this section is 50.**

	0	1	2	3	4	5
1. The policy / plan encourages urban-rural connectivity through joint delivery of public infrastructure services, local food systems or other types of urban-rural co-operation.						
2. The policy prescribes strategies to design a balanced system of cities, that are dynamic and based on functions.						
3. The policy / plan proposes strategies to ensure the protection of agricultural land that could be impacted by growth of urban areas.						
4. Policy / plan include measures to prepare for and adapt to climate change and increase resilience in urban areas.						
5. The policy / plan proposes to strengthen urban and rural flows of goods and services towards equitable resource distribution and sustainable consumption patterns.						
6. The policy / plans promote investments and creates solidarity and strong economic links between rural and urban areas.						
7. The policy / plan has strategies that prescribe engagement of community / and stakeholders in the development of future urban and peri-urban growth areas.						

	0	1	2	3	4	5
8. The NUPs and RDPs have strategies that promote planned city extension, encourage compact, connected and inclusive urban development.						
9. Policies that establish strategies, rules and mechanisms for a coordinated urban and territorial planning and management across different municipal governments.						
10. The policy / plan has strategies to localise global agenda and frameworks <sup>11</sup> throughout the region.						
<b>TOTAL</b>						

<sup>11</sup> Localising means implementing global agendas in cities and territories to achieve local and global goals. Its a process of enhancing implementation of global goals at the local contexts.



## Qualifier 3: Increased Local Fiscal Space.

Financial sustainability is an indispensable component of any NUP. Under Local Fiscal Space, integrated NUPs and regional development plans aim to introduce a more coordinated and decentralized articulation of responsibilities for urban development, ensuring that subnational and local governments have the adequate yet predictable financial resources to carry out their responsibilities including successful implementation of policies and plans. Equally the transfer of competences from central to local levels must be accompanied by a commensurate devolution of financial resources and autonomy. This will enhance capacity to deliver goods and infrastructure services but also accountability process of local officials to their constituents.<sup>12</sup> Implementing NUP and RDPs in scenarios where decentralization is incomplete and hence local governments rely too heavily on central government transfers can result in serious implementation gaps and policy failures.<sup>13</sup>

Thus, the devolution of financial capacity must be embedded within the NUP and RDP frameworks to empower cities and urban authorities to deploy innovative endogenous approaches. This will help increase local revenues from existing opportunities and incentivize sustainable patterns of development.

### A. Evaluation Issues

NUPs and RDPs may support sub-national and local governments to implement innovative sources of financing, ranging from instruments for land value capture, taxes, and service charges to the involvement in joint ventures with the private sector under the public private partnership arrangements. Below are the issues to evaluate in a countries NUP/ RDP to ascertain if they have integrated Increased Local Fiscal Space.<sup>14</sup>

<sup>12</sup> [https://sustainabledevelopment.un.org/content/documents/1732The%20Challenge%20of%20Local%20Government%20Financing%20in%20Developing%20Countries%20\\_3.pdf](https://sustainabledevelopment.un.org/content/documents/1732The%20Challenge%20of%20Local%20Government%20Financing%20in%20Developing%20Countries%20_3.pdf)

<sup>13</sup> UN-Habitat (2016) National Urban Policy: A Guiding Framework

<sup>14</sup> Local fiscal space" refers to the financial capacity of subnational governments or city governments to raise revenue, allocate resources, and manage their budgets effectively.

## 1. Increased Local Fiscal Space Issues

On a scale of 0 – 5, please rate the issues identified as important by your NUP/RDP to support increased local fiscal space (where 0 = fiscal issues do not exist or are not recognised in NUP/RDP and 5 = the issues are clearly identified and defined) to address population dynamic issues. **The highest score attainable by any NUP or RDP for this section is 50 points.**

	0	1	2	3	4	5
1. NUP / RDP identifies land-based financing mechanisms – land cadastres, value capture, tax on land, municipal land databases as key financing sources.						
2. NUP / RDP recognises role of private sector including public private partnerships and social investment funds in financing infrastructure services for urban development.						
3. NUP / RDP identifies borrowing from the financial markets including local and intermediary institutions as sources of local urban development funds.						
4. NUP / RDP identifies ways to incentivise local investment including developing attractively priced government-owned land, concessionary tax rates, tax breaks etc.						
5. NUP / RDP discusses the role of climate change adaptation investments and financing mechanisms to local development.						
6. NUP / RDP identifies preparation and approval of urban development plans and reforms in land use rights that enhance investments.						
7. NUP / RDP identifies the need to improve financial management systems and capacities of the local government.						
8. NUP / RDP identifies need for coordination between national and sub national revenues sources to enhance structuring allocations for urban development.						
9. NUP / RDP identifies the need to prepare / revise/ rationalise local investment policies/laws/bylaws.						
10. NUP / RDP supports financing models accessible to the full range of residents including low-income levels.						
<b>TOTAL</b>						



## B. Policy Proposals, Strategies and Recommendations

NUP / RDP need to develop clear policy proposals and recommendations on how to integrate and improve local fiscal space and financing mechanisms. Below are some of the policy proposals, strategies and recommendations that need to be integrated to ensure improved local fiscal space is achieved.

2. Policy Strategies and Recommendations

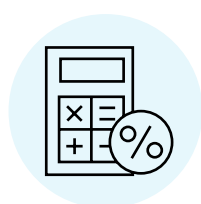
On a scale of 0 – 5, please rate the policy strategies / recommendations proposed by your NUP/ RDP (where 0 = policy strategy / recommendation is not available and 5 = policy strategy / recommendation they are clearly spelt out, defined and well-integrated in the policy / plan to address local fiscal space). **The highest score attainable by either NUP or RDP for this section is 50 points.**

	0	1	2	3	4	5
1. Policy strategies that seek to build, improve, or strengthen multi-purpose cadastre for effective land management in urban areas.						
2. Policy recommends effective urban planning, value capture and capital gain mechanisms to enhance local financing.						
3. NUP / RDP recommends fiscal incentives for improved urban investment - attractively priced government-owned land, concessionary tax rates, tax breaks etc.						
4. NUP / RDP recommend strategies to catalyse public private partnerships for infrastructure services development.						
5. The NUP / RDP identifies strategies to diversify land and property databases for improved tax compliance and collection.						
6. The NUP / RDP identifies strategies to enhance creditworthiness and allow local governments to borrow. <sup>15</sup>						
7. NUP / RDPs identifies strategies for tapping into development funds including climate change adaptation financing mechanisms.						
8. NUP / RDPs identifies strategies to improve human capacities, accountability, budgeting, financial management systems and reporting.						

<sup>15</sup> This may include access and draw from the financial markets including banks including floating of municipal bonds



	0	1	2	3	4	5
9. NUP / RDP identifies strategies to leverage informal sector contribution to local resource base.						
10. NUP / RDP have strategies that encourage cities to leverage their assets to generate more revenue.						
<b>TOTAL</b>						



## Computation of the Qualifiers

### Step 1

The National Urban Policy or Regional Development Plan needs to be evaluated by four different evaluators, awarding each of them a score. To get total score, for each of the three qualifiers, the evaluator need sum up the total score attained from qualifier issues table and score attained at policy strategies and recommendations table. The score for each of the qualifier range between (0 -100).

Table 1 below will assist the evaluator assign each qualifier the total score.

**Table 1. Evaluators Assessment of one of the qualifiers**

Qualifier	Category 1 (0 %)	Category 2 (1-25 %)	Category 3 (26-50%)	Category 4 (51-75%)	Category 5 (76-100%)	Total (max 100 per qualifier)
<b>Qualifier (a)</b> National urban policies or regional development plans respond to population dynamics	0	0	40%	0	0	a=40%

Qualifier	Category 1 (0 %)	Category 2 (1-25 %)	Category 3 (26-50%)	Category 4 (51-75%)	Category 5 (76-100%)	Total (max 100 per qualifier)
<b>Qualifier (b)</b> National urban policies or regional development plans ensure balanced regional and territorial development	0	20%	0	0	0	b=20%
<b>Qualifier (c)</b> National urban policies or regional development plans increase local fiscal space	0	0	0	75%	0	c=75%

## Step 2

To reduce the bias of subjectivity in the overall assessment, independent policy evaluation will be undertaken by several evaluators. Once each qualifier is evaluated by all the evaluators, a final averaged value for the indicator 11.a.1 is calculated. The table 2 below provides a summary of the procedures for the computation of the final values (final averaged value for the indicator 11.a.1).

**Table 2. Summary table for the computations of the indicator**

National Urban Policy	Evaluation 1	Evaluation 2	Evaluation 3	Evaluation 4	Total (max 100 per qualifier)
<b>Qualifier (a)</b> National urban policies or regional development plans respond to population dynamics	A1	A2	A3	A4	<b>Qa = (A1+A2+A3+A4)/4</b>
<b>Qualifier (b)</b> National urban policies or regional development plans ensure balanced regional and territorial development	B1	B2	B3	B4	<b>Qb = (B1+B2+B3+B4)/4</b>
<b>Qualifier (c)</b> National urban policies or regional development plans increase local fiscal space	C1	C2	C3	C4	<b>Qc = (C1+C2+C3+C4)/4</b>

National Urban Policy	Evaluation 1	Evaluation 2	Evaluation 3	Evaluation 4	Total (max 100 per qualifier)
Final value of the assessment (average values of all 3 qualifiers)					$X = (Qa + Qb + Qc)/3$

Based on the final value of the assessment (X in Table 2 above), countries that fall into categories 2 and 3, which correspond to 1 – 50 percentage points, are not counted as “countries that are developing and implementing a national urban policy or regional development plans that does not achieve Target 11.a.” These countries are encouraged to deploy efforts in order to improve national urban policies or regional development plans.

Countries that fall into categories 4 and 5, which correspond to 51 percentage points or more in the assessment, are considered as “countries that are developing and implementing a national urban policy or regional development plan” that contribute to the achievement of Target 11.a. Countries that are counted as having national urban policies or regional development plans can still use the score to enhance efforts to improve the rating of the 3 qualifiers.



# Inspiring practices and lessons on the qualifiers

This section helps to augment statistical data related to the three qualifiers. While the evaluator may lead to in collecting information on good practices, challenges and lessons in implementation of NUPs in the country, government officials would use this section for internal re-evaluation on NUP implementaion. Under each of the qualifier, please highlight.



i. Three good practices the country wishes to share where NUP has supported implementation of each of the three SDG 11.a.1 qualifiers.



ii. Three lessons learned in trying to accelerate implementation.



iii. Three challenges experienced during implementation.



iv. Three areas where support is needed, in terms of capacity building, technology, partnerships, among other areas.

QUALIFIERS	POPULATION DYNAMICS	BALANCED TERRITORIAL DEVELOPMENT	INCREASED LOCAL FISCAL SPACE
GOOD PRACTICES			
LESSONS			
CHALLENGES			
AREAS WHERE FURTHER SUPPORT IS NEEDED			

# How can UN-Habitat Support your

## SDG 11.a.1. Review and Reporting

UN-Habitat is strongly committed to supporting member states localize SDGs. It supports them build and strengthen urban governance structures, legal and policy frameworks and empowering capacity of decision makers better and effectively implement national urban policies. In the review and reporting of SDG 11.a.1., UN-Habitat would offer support in:



- » **Technical assistance and Capacity Development:** UN-Habitat can offer technical assistance on data collection and surveys and especially on the SDG indicators. This includes strengthening the capacity of national statistical offices, data systems and evaluation bodies. Furthermore, UN-Habitat could support countries translate the global goals, targets and indicators to their national contexts, including during preparation of Voluntary National and Local Reviews.



- » **Knowledge and experience sharing:** As an urban development agency, UN-Habitat has a wealth of knowledge and experience, and understands the aspirations of cities, regions, and their residents. UN-Habitat has a wide range of tools and guides customizable to support countries enhance their urban policy processes. The Agency also has a wide range of innovative experience and case studies on urban policy to support countries in formulation, implementation monitoring and evaluation. Furthermore, UN-Habitat could facilitate a peer-to-peer exchange of experiences and lessons sharing from monitoring and review of SDG 11.a.1 indicators.



- » **Publicity and awareness creation:** UN-Habitat has globally been involved in awareness creation of the importance of urban development policies. Country experiences and lessons would be shared within these networks.



- » In some countries, resource constraints may hamper the development, implementation, and review of NUPs and especially reporting on the SDG 11.a.1. UN-Habitat may through technical assistance programmes collaboratively work with such countries to enhance their resource capacities for NUPs development.

# VOLUNTARY REPORTING GUIDELINES FOR SDG INDICATOR 11.A.1.

## STEP BY STEP MODULE FOR GOVERNMENTS

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