Guidelines for Reporting on the Implementation of the New Urban Agenda

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Introduction

The guidelines contained in this document are meant to facilitate the preparation of National Reports on the progress of the implementation of the New Urban Agenda, which was adopted by Member States in October 2016 (*New Urban Agenda*: http://habitat3.org/the-new-urban-agenda/).

These guidelines have been prepared in response to Resolution (RES/71/256. New Urban Agenda) adopted by the General Assembly on 23 December 2016, which endorses the New Urban Agenda adopted by the United Nations Conference on Housing and Sustainable Urban Development (Habitat III).

In the New Urban Agenda document, Member States are requested to:

…carry out a periodic follow-up to and review of the New Urban Agenda, ensuring coherence at the national, regional and global levels, in order to track progress, assess impact and ensure the Agenda's effective and timely implementation, accountability to our citizens and transparency, in an inclusive manner (paragraph 161).

… encourage voluntary, country-led, open, inclusive, multilevel, participatory and transparent follow-up and review of the New Urban Agenda. The process should take into account contributions of national, Subnational and local levels of government and be supplemented by contributions from the United Nations system, regional and sub-regional organizations, major groups and relevant stakeholders, and should be a continuous process aimed at creating and reinforcing partnerships among all relevant stakeholders and fostering exchanges of urban solutions and mutual learning (paragraph 162).

… the General Assembly to request the Secretary-General, with voluntary inputs from countries and relevant regional and international organizations, to report on the progress of the implementation of the New Urban Agenda every four years, with the first report to be submitted during the seventy-second session of the Assembly (paragraph 166).

…the report will provide a qualitative and quantitative analysis of the progress made in the implementation of the New Urban Agenda and internationally agreed goals and targets relevant to sustainable urbanization and human settlements. The analysis will be based on the activities of national, Subnational and local governments… (paragraph 167).

Heads of State and Governments note that the New Urban Agenda reaffirms our global commitment to sustainable urban development as a critical step for realizing sustainable development in an integrated and coordinated manner at the global, regional, national, Subnational and local levels, with the participation of all relevant actors. The implementation of the New Urban Agenda contributes to the implementation and localization of the 2030 Agenda for Sustainable Development in an integrated manner, and to the achievement of the Sustainable Development Goals and targets, including Goal 11 of making *cities and human settlements inclusive, safe, resilient and sustainable* (paragraph 9). (*2030 Agenda for Sustainable Development:* https://sustainabledevelopment.un.org/sdgs)

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Preparing the Report

Assembling the Team

The preparation of the Report should be led by the key ministry, or a clearly defined consortium of ministries, dealing with urbanization in the country with clear lines of responsibility and accountability. However, in countries where National Habitat Committees (NHC) and National Urban Forums (NUF) exist and are active, both can play a key role or take the lead in preparing the Report.

Member States should prepare the report through a country-led, open, inclusive, multilevel, participatory, and transparent process that takes into account the role and contributions of the national, Subnational, and local levels of government, the United Nations system, regional and sub-regional organizations, major groups and relevant stakeholders. Irrespective of whether the preparation of the Report is led by the relevant ministry, NHC or NUF, the composition of the team preparing the Report should include the following:

- *National Government,* represented by the key ministries and institutions dealing with national statistics and urbanization, including but not exclusive to, local government, urban planning and development, housing, lands, infrastructure, labour, economic development, finance, and gender;
- *Local Governments,* including their national associations and/or the intermediary cities, as well as medium and small towns, the latter being also geographically, functionally and historically important;
- *Regional Governments,* which includes provincial, county or state governments;
- *Civil Society and the Private Sector,* including NGOs, the media, professional societies, the private sector, women's and youth groups, minorities and special interest groups;
- *Academic Institutions,* including universities, as well as research and training institutions; and,
- *External Support Agencies,* including bilateral and multilateral donors, the United Nations, international NGOs, and other support agencies.

Reporting Timeline

To the greatest extent possible, the reporting process should be continuous, aimed at creating and reinforcing partnerships among all relevant stakeholders and fostering exchanges of urban solutions and mutual learning. The report should feature effective linkages with the follow-up and review of the 2030 Agenda for Sustainable Development to ensure coordination and coherence in the implementation of the relevant global development agendas. Continuous updates can be made at any time online, through the NUA Platform, although complete National Reports should be submitted, at a minimum, every two years.

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Reporting Methodology

Although each Member State will have different processes for completing the report, all reports should explain how the report was prepared, highlighting linkages between national, subnational, and local governments, stakeholders, and the public. Reporting should encompass the relevant information in each subcategory and respond with quantitative and qualitative inputs whenever possible.

Using Data

Where possible, data should be disaggregated by sex, age, income level and include gender indicators. An appropriate subset of the collected data should be made accessible to enable participation and inclusion. The report should include details about what information has been made available and in what form. Publicly accessible open data platforms should also be included, or links provided. To the greatest extent possible, indicators requested in these guidelines are common to, or aligned with, existing Sustainable Development Goal indicators. Drafting and updating NUA Implementation Country reports is also an opportunity for Member States to, simultaneously, closely track multiple key SDG indicators. (*SDG 11 Monitoring and Framework*: https://landportal.org/book/sdgs/1171/sdgs-indicator-1171)

Contributing to the Secretary General's Report

NUA National Reports will provide essential inputs to the Secretary General's Quadrennial Reports, efforts to measure implementation of the New Urban Agenda and SDG-11. Best practices, lessons learned, and case studies included in the report will contribute to country-to-country learning and provide a common resource for implementers.
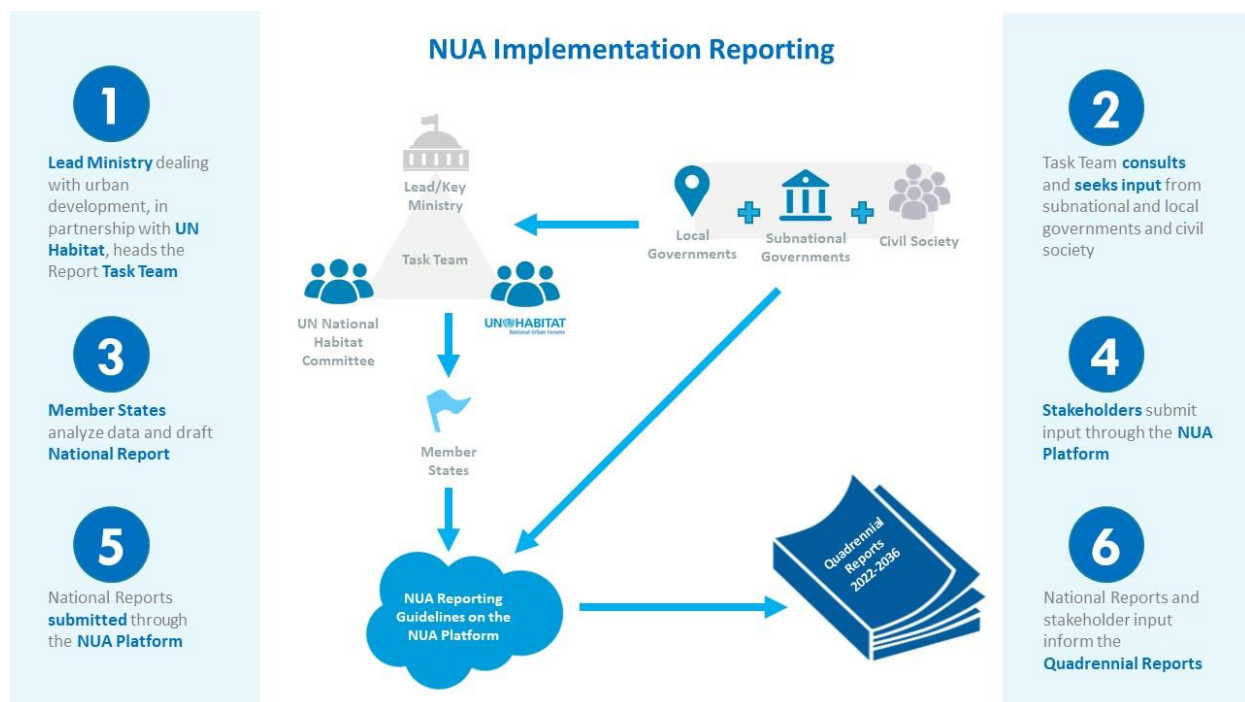

Figure 1. Inclusive NUA Implementation Reporting Procedure

Member States are encouraged to use the online portal within the NUA Platform (to be launched in 2020) for submitting their National Reports. UN-Habitat will offer Member States support and guidance for reporting on implementation of the New Urban Agenda and utilizing the NUA Platform. For assistance, please contact: nua@un.org.

Reporting on the Implementation of the NUA

Executive Summary

The executive summary will present an overview of the country's progress in implementation of the NUA. This section presents, broadly, the status, outlook, successes and challenges in implementing the NUA. A description of the processes adopted when preparing this report should be presented, highlighting the coordination at the various levels of government, participatory and inclusive methods used, decentralized meetings, and the composition of the team that created the report.

Part 1: Transformative Commitments for Sustainable Urban Development

The first section of the report focuses on how Member States are achieving/meeting the *Transformative Commitments* of the New Urban Agenda.

This section contains three parts:

> 1.1 Sustainable Urban Development for Social Inclusion and Ending Poverty
> 1.2 Sustainable an Inclusive Urban Prosperity and Opportunities for all
> 1.3 Environmentally Sustainable and Resilient Urban Development

Part 1 should include a *narrative* for each of the commitment categories with supporting materials. While it is understood that each Member State will have varying capacity and methodologies for measuring success, responses should include indicators (quantitative or qualitative). Each response should incorporate the cross-cutting issue of the inclusion of women and vulnerable groups (youth, older persons, persons with disabilities and migrants). Publicly accessible (data) platforms, weblinks, maps, tables etc. should also be included as annexes to this report where possible.

1.1. Sustainable Urban Development for Social Inclusion and Ending Poverty

This Transformative Commitment is grouped into three categories: Social Inclusion and Ending Poverty; Access to Adequate Housing; and Access to Basic Services.

Social Inclusion and Ending Poverty

Since the adoption of the NUA in 2016, describe the progress that your National Government, Local Governments (including the capital or major city) and other Subnational governments, in partnership with stakeholders, have achieved in the implementation of the NUA in the areas listed below. Describe the results achieved, challenges experienced, and lessons learnt in these areas. The description should include best practices, case studies, and specific examples. Where possible, provide at least four indicators for your country on the following areas of progress. Reporting indictors for each area of progress are located here.

1. Eradicate poverty in all its forms
2. Reduce inequality in urban areas by promoting equally shared opportunities and benefits
3. Achieve social inclusion of vulnerable groups (women, youth, older persons and persons with disabilities and migrants)
4. Ensure access to public spaces including streets, sidewalks, and cycling lanes

Access to Adequate Housing

Since the adoption of the NUA in 2016, describe the progress that your National Government, Local Governments (including the capital or major city) and other Subnational government authorities, in partnership with stakeholders, have achieved in the implementation of the NUA in the areas listed below. Describe the results achieved, challenges experienced, and lessons learnt in these areas. The description should include best practices, case studies, and specific examples. Where possible, provide at least four indicators for your country on the following areas of progress. Reporting indictors for each area of progress are located here. (*Housing at the Centre of the New Urban Agenda:* https://unhabitat.org/housing-at-the-centre-of-the-new-urban-agenda/)

1. Ensure access to adequate and affordable housing
2. Ensure access to sustainable housing finance options
3. Establish security of tenure
4. Establish slum upgrading programmes

Access to Basic Services

Since the adoption of the NUA in 2016, describe the progress that your National Government, Local Governments (including the capital or major city) and other Subnational government authorities, in partnership with stakeholders, have achieved in the implementation of the NUA in

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the areas listed below. Describe the results achieved, challenges experienced, and lesson learnt in these areas. The description should include best practices, case studies, and specific examples. Where possible, provide at least four indicators for your country on the following areas of progress. Reporting indictors for each area of progress are located here.

1. Provide access to safe drinking water, sanitation and solid waste disposal
2. Ensure access to safe and efficient public transport system
3. Provide access to modern renewable energy

1.2 Sustainable and Inclusive Urban Prosperity and Opportunities for All

This Transformative Commitment is grouped into two categories: Inclusive Urban Economy and Sustainable Urban Prosperity.

Inclusive Urban Economy

Since the adoption of the NUA in 2016, describe the progress that your National Government, Local Governments (including the capital or major city) and other Subnational government authorities, in partnership with stakeholders, have achieved in the implementation of the NUA in the areas listed below. Describe the results achieved, challenges experienced, and lessons learnt in these areas. The description should include best practices, case studies, and specific examples. Where possible, provide at least for your country on the below categories. Reporting indictors for each area of progress are located here.

1. Achieve productive employment for all including youth employment
2. Strengthen the informal economy
3. Support small- and medium-sized enterprises
4. Promote an enabling, fair and responsible environment for business and innovation

Sustainable Prosperity for All

Since the adoption of the NUA in 2016, describe the progress that your National Government, Local Governments (including the capital or major city) and other Subnational government authorities, in partnership with stakeholders, have achieved in the implementation of the NUA in the areas listed below. Describe the results achieved, challenges experienced, and lessons learnt in these areas. The description should include best practices, case studies, and specific examples. Where possible, provide at least four indicators for your country on the below categories. Reporting indictors for each area of progress are located here.

1. Diversify of the urban economy and promote cultural and creative industries
2. Develop technical and entrepreneurial skills to thrive in a modern urban economy
3. Develop urban-rural linkages to maximize productivity

1.3 Environmentally Sustainable and Resilient Urban Development

> This Transformative Commitment is grouped into two categories: Resilience, Mitigation, and Adaption of Cities and Human Settlements and Sustainable Management and use of natural resources.

Resilience, Mitigation and Adaptation of Cities and Human Settlements

Since the adoption of the NUA in 2016, describe the progress that your National Government, Local Governments (including the capital or major city) and other Subnational government authorities, in partnership with stakeholders, have achieved in the implementation of the NUA in the areas listed below. Describe the results achieved, challenges experienced, and lessons learnt in these areas. The description should include best practices, case studies, and specific examples. Where possible, provide at least four indicators for your country on the below categories. Reporting indictors for each area of progress are located here. (*Sendai Framework for Disaster Risk Reduction:* https://www.unisdr.org/we/coordinate/sendai-framework)

1. Minimize urban sprawl and loss of biodiversity resulting from it
2. Implement climate change mitigation and adaptation actions
3. Develop systems to reduce the impact of natural and human-made disasters
4. Build urban resilience through quality infrastructure and spatial planning

Sustainable Management and Use of Natural Resources

Since the adoption of the NUA in 2016, describe the progress that your National Government, Local Governments (including the capital or major city) and other Subnational Government authorities, in partnership with stakeholders, have achieved in the implementation of the NUA in the areas listed below. Please describe the results achieved, challenges experienced, and lessons learnt in these areas. The description should include best practices, case studies, and specific examples. Where possible, provide at least four indicators for your country on the below categories. Reporting indictors for each area of progress are located here. (*Paris Climate Agreement*: https://unfccc.int/sites/default/files/english_paris_agreement.pdf)

1. Strengthen the sustainable management of natural resources in urban areas
2. Drive resource conservation and waste reduction, reuse, and recycling
3. Implement environmentally sound management of water resources and urban coastal areas
4. Adopt a smart-city approach that leverages digitization, clean energy and technologies

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Part 2: Effective Implementation

The second section of the report will focus on Member States' enabling policy framework at the national level. Part 2 should include a narrative for each of the implementation categories with supporting materials. Each response should incorporate the cross-cutting issue of the inclusion of women and vulnerable groups (youth, older persons, persons with disabilities and migrants).

This section contains three parts:

      2.1 Building the Urban Governance Structure: Establishing a Supportive Framework
      2.2 Planning and Managing Urban Spatial Development
      2.3 Means of Implementation

While it is understood that each Member State will have varying capacity and methodologies for measuring success, responses should include indicators (quantitative or qualitative). Publicly accessible (data) platforms, weblinks, maps, tables etc. should also be included as annexes to this report where possible.

2.1 Building the Urban Governance Structure: Establishing a Supportive Framework

Describe what your National Government, Local Governments (including the capital or major city) and other Subnational Governments, in partnership with stakeholders, have done, including results achieved, in the areas listed below, which were prioritized as the *urban governance structure* for the effective implementation of the New Urban Agenda. Describe the results achieved, challenges experienced, and lessons learnt, best practices and case studies, if any, in these areas. (*International Guidelines on Decentralization and Access to Basic Services for All*: https://unhabitat.org/books/international-guidelines-on-decentralization-and-access-to-basic-services-for-all/)

1. Decentralize to enable Subnational and local governments undertake their assigned responsibilities
2. Link urban policies to finance mechanisms and budgets
3. Develop legal and policy frameworks to enhance the ability of governments to implement urban policies
4. Build the capacity of local and Subnational governments to implement local and metropolitan multilevel governance
5. Implement participatory, age- and gender-responsive approaches to urban policy and planning
6. Achieve women's full participation in all fields and all levels of decision-making

2.2   Planning and Managing Urban Spatial Development

Describe what your National Government, Local Governments (including the capital or major city) and other Subnational governmental governments, in partnership with stakeholders, have done, including results achieved, in the areas listed below, which were prioritized as the *planning and managing urban spatial development* in the effective implementation of the New Urban Agenda. Describe the results achieved, the challenges experienced, and lessons learnt, best practices and case studies, if any, in these areas. (*International Guidelines on Urban and Territorial Planning*: https://unhabitat.org/books/international-guidelines-on-urban-and-territorial-planning/)

1. Implement integrated and balanced territorial development polices
2. Integrate housing into urban development plans
3. Include culture as a priority component of urban planning
4. Implement planned urban extensions and infill, urban renewal and regeneration of urban areas
5. Improve capacity for urban planning and design, and training for urban planners at all levels of government
6. Strengthen the role of small and intermediate cities and towns
7. Implement sustainable multimodal public transport systems including non-motorized options

2.3   Means of Implementation

This section is grouped into three categories: mobilization of financial resources; capacity development and enhanced knowledge-sharing; and information technology and innovation.

Mobilization of Financial Resources

Describe what your National Government, Local Governments (including the capital or major city) and other Subnational governments, in partnership with stakeholders, have done/are doing, in the areas listed below in terms of the *mobilization of financial resources* as a means of implementing the New Urban Agenda. Describe the results achieved, the results achieved, challenges experienced, and lessons learnt, best practices and case studies, if any, in these areas. (*Addis Ababa Action Agenda:* https://sustainabledevelopment.un.org/frameworks/addisababaactionagenda)

1. Develop financing frameworks for implementing the NUA at all levels of government
2. Mobilize endogenous (internal) sources of finance and expand the revenue base of Subnational and local governments

3. Formulate sound systems of financial transfers from national to Subnational and local governments based on needs, priorities and functions
4. Mobilize and establish financial intermediaries (multilateral institutions, regional development banks, Subnational and local development funds; pooled financing mechanisms etc.) for urban financing

Capacity Development

Describe what your National Government, Local Governments (including the capital or major city) and other Subnational governments, in partnership with stakeholders, have done/are doing, in the areas listed below in terms of *capacity development* as a means of implementing the New Urban Agenda. Describe results achieved, the results achieved, challenges experienced, and lessons learnt, best practices and case studies, if any, in these areas.

1. Expand opportunities for city-to-city cooperation and fostering exchanges of urban solutions and mutual learning
2. Implement capacity development as an effective, multifaceted approach to formulate, implement, manage, monitor and evaluate urban development policies
3. Build capacity at all levels of government to use data for evidence-based policy formulation including collecting and using data for minority groups
4. Build the capacity of all levels of government to work with vulnerable groups to participate effectively in decision-making about urban and territorial development.
5. Engage local government associations as promoters and providers of capacity development
6. Implement capacity development programmes on the use of legal land-based revenue, financing, and other tools
7. Implement capacity development programmes of Subnational and local governments in financial planning and management
8. Increase cooperation and knowledge exchange on science, technology and innovation to benefit sustainable urban development

Information Technology and Innovation

Describe what your National Government, Local Governments (including the capital or major city) and other Subnational Governments, in partnership with stakeholders, have done/are doing, in the areas listed below in terms of deploying *information technology and innovation* as a means of implementing the New Urban Agenda. Describe results achieved, the challenges experienced, and lessons learnt, best practices and case studies, if any, in these areas.

1. Develop user-friendly, participatory data and digital platforms through e-governance and citizen-centric digital governance tools
2. Expand deployment of frontier technologies and innovations to enhance shared prosperity of cities and regions
3. Implement digital tools, including geospatial information systems to improve urban and territorial planning, land administration and and access to urban services
4. Build capacities at all levels of government to effectively monitor the implementation of urban development policies
5. Strengthen all levels of government and the civil society in the collection, disaggregation, and analysis of data

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Part 3: Follow-up and Review

Describe the mechanisms, tools, framework and/or methodology that have been developed by your National Government, Local Governments (including the capital or major city) and other Subnational Governments, in partnership with stakeholders, to monitor and report on the implementation of the New Urban Agenda. Describe results achieved, the challenges experienced, and lessons learnt, best practices and case studies, if any, in these areas.

Useful Links

Realizing the Human Rights to Water and Sanitation: A Handbook by The UN Special Rapporteur Catarina de Albuquerque
https://unhabitat.org/books/realising-the-human-rights-to-water-and-sanitation-a-handbook-by-the-un-special-rapporteur-catarina-de-albuquerque/
Capacity Self-Assessment Methodology for Local Government Training Institutions
https://unhabitat.org/capacity-self-assessment-methodology-for-local-government-training-institutions/
National Urban Policy: A Guiding Framework
https://unhabitat.org/books/national-urban-policy-a-guiding-framework/
Global State of National Urban Policy
https://unhabitat.org/books/global-state-of-national-urban-policy/
The Role of Cities in Productive Transformation: Six City Case Studies from Africa, Asia, and Latin America
https://unhabitat.org/books/the-role-of-cities-in-productive-transformation/
ICT, Urban Governance and Youth
https://unhabitat.org/books/ict-urban-governance-and-youth/

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