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Sustainable Development Goals and Habitat III: Opportunities for a successful New Urban Agenda

Prepared by adelphi and Urban Catalyst



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About the Series

The Cities Alliance Discussion Paper series aims to provide a platform for the publication of preliminary results on urban development topics to encourage further discussion and debate. Citation and use of material presented in this series should take this provisional character into account.

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1. Introduction

In October 2016, the United Nations Conference on Housing and Sustainable Urban Development (Habitat III) will take place in Quito, Ecuador. The outcome document of Habitat III will be the New Urban Agenda (NUA), which will provide guidelines and recommendations for sustainable urban development for the next two decades.

The Cities Alliance and the Cities Alliance Joint Work Programme (JWP) in support of Habitat III assist the exchange of ideas on the New Urban Agenda among stakeholders. The aim of this discussion is to build a consensus on the structure and content of the New Urban Agenda. To support this discussion, the Cities Alliance and the JWP organized a series of workshops in 2015. The input papers, handout and moderator's conclusions from two of these workshops¹ are presented in this Cities Alliance discussion paper. The topics addressed by the various input papers and handout included in this discussion paper are outlined below.

Implications of other international agreements for the New Urban Agenda:

- How do other international negotiations and agreements (FfD, SDGs, UNFCCC COP21) affect the New Urban Agenda?
- What is the potential added value of the New Urban Agenda?
- Can (and should) it link to these other international agreements?

¹ The first workshop was organized by the Cities Alliance Secretariat in Brussels on 15 July 2015. The second workshop was organized by the Cities Alliance JWP in support of Habitat III, and co-hosted by the Global Taskforce of Local and Regional Governments for Post-2015 and Habitat III. It took place in New York on 27 September 2015.

Implementation and financing of the New Urban Agenda:

- What were the successes and shortcomings with respect to the implementation of the Habitat Agenda, and what measures are needed to support an effective implementation of the NUA?
- What financing mechanisms are needed to support the implementation of the New Urban Agenda?

The urban dimension of the SDGs and the Implications for the New Urban Agenda:

- How do the SDGs address urban issues at the level of goals, targets and indicators?
- How can the New Urban Agenda build on Agenda 2030 and complement it to ensure effective implementation?

Monitoring, review and support mechanisms for the New Urban Agenda:

- What lessons can be learned from the Habitat Agenda, urban monitoring platforms and other international agreements with respect to the obstacles and requirements for effective monitoring, review and support mechanisms?
- What are the potential synergies between the New Urban Agenda and existing monitoring and review mechanisms?

Participants of the two workshops engaged in comprehensive discussions of these topics. The two Moderator's Conclusions included in this paper summarize the discussions. Among other things, workshop participants agreed that the NUA needs an aspirational vision to guide sustainable urban development and mobilize actors. Participants at both workshops agreed

that the potential for linking to the Sustainable Development Goals (SDGs) needs to be thoroughly examined. They also emphasized that because many of the SDGs touch on urban issues, local actors need to be strengthened so that they can support implementation of the SDGs. Support for them could include adequate capacities at the city level, financing mechanisms and national urban policy frameworks, for example. Finally, workshop

participants emphasized the importance of strong monitoring and review mechanisms to support the implementation of the New Urban Agenda.

By summarizing these input papers and the workshop discussions, this paper aims to support the debate on the measures that are needed to facilitate implementation of the New Urban Agenda, and the different possibilities of linking the New Urban Agenda and the SDGs.

2. Context of the New Urban Agenda

Franziska Schreiber, Eleni Dellas and Alexander Carius (adelphi, Berlin and Günter Meinert)

2.1 Introduction and summary

This input paper was commissioned by GIZ and written by adelphi for a workshop on the New Urban Agenda, organized by the Cities Alliance Secretariat in Brussels on 15 July 2015. The paper outlines the potential implications of different international agreements for the New Urban Agenda. It also discusses the question of participation of stakeholders in the Habitat III process. To stimulate discussion, the paper poses questions and develops theses on these different topics.

2.2 International agreements with relevance for the New Urban Agenda

2015 is a pivotal year for sustainable development. The outcomes of the 3rd International Conference on Financing for Development (FfD), the United Nations Sustainable Development Summit, as well as the UNFCCC COP 21 will shape the global development agenda for the coming decades. The SDGs have the most direct relevance for Habitat III due to the inclusion of a stand-alone urban SDG (SDG 11), and the consideration of urban issues in several targets of other goals. In addition, the outcome document of the FfD conference emphasizes the importance of investments for sustainable cities. And, although the role of local governments and cities has yet to be negotiated in the context of UNFCCC COP21, the importance and recognition of cities in the global climate regime has increased since COP 17. Against this background, Habitat III is often referred to

as the first implementation conference of the 2030 development agenda and the new climate agreement. This raises questions regarding the relationship between these global processes and Habitat III:

- Considering the discussions and (anticipated) outcomes with regard to urban issues of the SDG, FfD and UNFCCC processes, why do we actually need a New Urban Agenda? How can the NUA contribute?
- What are the implications of the discussions at FfD, SDGs, and COP 21 for Habitat III both in terms of content and process?

In contrast to the Kyoto Protocol and the MDGs, the new climate agreement and the Sustainable Development Goals are both intended to be universal, thus offering a relevant precondition for alignment with the New Urban Agenda.

- What can such an alignment look like? Do we need better coordination and synchronization of these processes and if so, how?

There are many potential overlaps in the goals, targets and indicators of the SDGs and the NUA. First and foremost, the SDGs include the dedicated urban Goal 11. Nonetheless, urban issues need to be integrated into other relevant SDGs goals and targets to ensure that their specific urban dimensions are recognized. While the SDGs are designed to better integrate crosscutting issues compared to their predecessors (the MDGs), not all relevant SDGs sufficiently account for urban issues, e.g. through their targets or proposed indicators.

- How can we tap the full potential of an urban SDG, as well as of the targets and indicators with an urban dimension for Habitat III?

Thesis 1: Habitat III and the New Urban Agenda should fill in the gaps with respect to urban issues in the SDGs and establish links (horizontally and vertically) where necessary.

2.3 Participation

In September 2014 the Habitat III process began with the first session of the Preparatory Committee. This was followed by PrepCom 2 (April 2015), which was supposed to find agreement on the modalities of participation. While it was widely anticipated that the inclusive engagement modalities of Habitat II would be extended to the Habitat III process, member states were unable to reach consensus on the rules of procedure, including stakeholder participation. This is a critical issue, as the strength of the Habitat III process and its outcomes will rest on the level of participation. The issue is now supposed to be taken up by the UN General Assembly in November 2015.

- Is it still possible to reach broad participation or even improved participation as requested in Resolution 67/216? If so, what should and could improved participation of local authorities and other stakeholders look like? And what is needed to achieve this?
- What are the implications of the lack of agreement on participation for the New Urban Agenda?

Thesis 2: Additional structures outside the Habitat III process can support the integration of the perspectives of stakeholders (especially local governments) in the New Urban Agenda.

Additionally, it is useful to re-examine the Habitat process. Habitat conferences take place every two decades, and hardly manage to generate sustained attention for urban development on global and domestic policy agendas. They are insufficiently adaptive and flexible to address new challenges and opportunities emerging from the rapid pace of urbanization and dramatic

developments, for example with respect to technological innovations.

- Do we need more frequent Habitat conferences or an entirely different process?

Additional questions

- How can the New Urban Agenda become as relevant as Agenda 21, which was a driver for local climate action and the beginning of urban transformation in the 1990s?
- Does the existing urban agenda capture (drivers of) change in urban development?
- Are existing opportunities for participation attractive for the private sector? Are there any alternative fora that can or should be linked to the Habitat process?

Thesis 3: Effective implementation of the NUA will rest on the quality of national urban policies, strategies or plans of action, which should be integrated into national development strategies.

3. Implementation and Financing of the New Urban Agenda

Eleni Dellas, Franziska Schreiber and Alexander Carius (adelphi, Berlin)

3.1 Introduction and summary

This input paper was written by adelphi for a workshop on the New Urban Agenda, organized by the Cities Alliance Secretariat in Brussels on 15 July 2015. The paper was commissioned by GIZ. The paper discusses issues and questions related to the implementation of the New Urban Agenda. It also examines the related issue of financing, and outlines various challenges and opportunities related to the mobilization of adequate financing for the New Urban Agenda.

3.2 Implementation

The precursor agreement to the New Urban Agenda was the Habitat Agenda, which was adopted at the 1996 Habitat II conference in Istanbul. Member states committed to implementing the Habitat Agenda at the local, national, regional and international levels, through national plans of action and/or other relevant national programs and actions. This process allowed countries to adapt the recommendations of the Habitat Agenda to their specific needs and circumstances. The success of Habitat II therefore largely rested on the extent to which national plans of action addressed and implemented the Habitat Agenda. Habitat II moreover specified that such national plans of action should be complemented by bilateral, subregional, regional and international cooperation in pursuit of implementation.

The state of implementation was first comprehensively reviewed at an UNGA *Special*

Session for an overall review and appraisal of the implementation of the Habitat Agenda (Istanbul+5) in 2001. This review raised concerns about the state of implementation of the Habitat Agenda. In particular, it noted that lack of political will was a basic obstacle to the implementation of the Habitat Agenda, and that since 1996, not much had developed in terms of international cooperation on shelter and human settlements development. A comprehensive review is currently in preparation for Habitat III and will show to what extent the Habitat Agenda has been implemented and what obstacles have or have not been tackled.

- What processes are needed to catalyse political will and buy-in for the New Urban Agenda?
- How can sufficient capacity be built both at the national and local level to ensure successful implementation of the NUA?
- What multi-level governance structures are needed to support the implementation of the NUA?
- Do we need new mechanisms of international cooperation to ensure the effective delivery of the NUA?

The first PrepCom report (September 2014) moreover mentions that enduring failures to implement policies and policy shortcomings hamper progress on the Habitat Agenda. Thus, efforts to implement the Habitat Agenda remain insufficient to fulfill the goals of adequate shelter for all and sustainable human settlements development. These implementation gaps of Habitat II emphasize the need for measures to ensure that the New Urban Agenda has better chances of successful implementation.

- What policy processes are needed to ensure that national urban development strategies or policies are developed in a transparent and inclusive way?
- What regulatory frameworks are needed at the national level for an effective implementation of Habitat III?
- How can the means of implementation of the SDGs, in particular with respect to the specific targets and indicators related to urban issues, be harnessed to promote the implementation of Habitat III?
- What mechanisms should be used to unlock the full potential of private sector and civil society? Would it be useful to develop Local Agendas for implementation of the NUA?
- What actors and institutions are drivers of change that can encourage implementation?

3.3 Financing

Implementing sustainable urban development requires effective financing mechanisms. Firstly, where responsibilities are decentralized to local authorities, this should be accompanied by a decentralization of resources and capacity. Secondly, sustainable urban development requires well-functioning local tax and finance systems. Developing such systems is a long-term process, as it requires coordination and cooperation across different levels of government, ministries and departments. Thirdly, once well-functioning municipal finance and tax systems have been established, local authorities can tap into funding under other international sustainable development investment frameworks.

Private sector funding could make substantial contributions to sustainable urban development. However, local governments in developing countries rarely use private sector sources of funding. Moreover, only few cities in low-income countries have access to international markets. This lack of access is caused by a host of problems cities face, such as exchange rate risk and low creditworthiness. Institutions and programmes working to address such problems

include the World Bank's City Creditworthiness Program and the Cities Development Initiative for Asia. Several issue-specific collaborations also exist, such as the Medellin Collaboration on Urban Resilience (MCUR), which aims to catalyse cities' access to finance for resilience-enhancing investments. Another example is the Cities Climate Finance Leadership Alliance (launched in New York in September 2014), which supports cities in low- and middle-income countries in finding public and private investments to finance sustainable infrastructure.

- How can collaboration and partnership between local authorities and the private sector be supported? What are the preconditions for effective collaboration on the part of the private sector and on the part of local governments?
- What additional finance and investment facilities are needed?

In the realm of financing for sustainable development, there are many potential sources of funding for sustainable urban development projects. However, many local authorities need support to be able to effectively access these sources of finance, e.g. through capacity building.

- What is needed for local authorities to access available funds at the international level?
- How can capacity building of local governments be supported?
- What financing opportunities should be part of the New Urban Agenda?

Thesis 4: The success of Habitat III and the New Urban Agenda hinges on its complete and effective implementation, as well as the availability of and access to sufficient funding at the local level.

4. Moderator's Conclusions: Opportunities for the New Urban Agenda

Alexander Carius, Franziska Schreiber and Eleni Dellas (adelphi, Berlin)

4.1 Introduction and summary

The Cities Alliance Secretariat convened a workshop on 15 July 2015, as a follow up on a request from Germany, a Cities Alliance board member. The workshop aimed to elaborate on the content and context of the New Urban Agenda (NUA), and discuss the process and mechanisms of implementation and review. The workshop was attended by the Cities Alliance Secretariat and members of the management board, as well as members and partners of the Joint Work Programme in support of Habitat III, including Brazil, France, Germany (GIZ, BMZ), UCLG, UN-Habitat, Habitat for Humanity International, DFID and SDSN. The workshop was moderated by Alexander Carius, managing director of adelphi, and held under Chatham House Rule. The workshop helped clarify expectations on the NUA and identify key points of action. These moderator's conclusions summarize the discussion at the workshop.

4.2 The New Urban Agenda in the global context

2015 is a pivotal year for sustainable development. The outcomes of the 3rd International Conference on Financing for Development (FfD), the United Nations Summit to adopt the post-2015 development agenda, as well as the United Nations Framework Convention on Climate Change (UNFCCC) COP21 will shape sustainable development for the coming

decades. Habitat III will also be significantly influenced by the outcomes of these global processes. Moreover, political commitment for Habitat III is currently eclipsed by the focus on the sustainable development goals (SDGs), FfD and UNFCCC processes. While interest is likely to increase after COP21, workshop participants agreed that this is too late to increase visibility of Habitat III, and that **the process should be strengthened now.**

4.3 Recommendations for the New Urban Agenda

The abovementioned global processes lack an articulate vision on the future of cities which goes beyond a list of sector-specific targets and indicators. Participants were concerned that in the absence of such a vision, Habitat III would fail to garner sufficient international attention. Participants recommended that:

► *The NUA should formulate an **aspirational vision** to guide sustainable urban development for the next 20 years and to help mobilize actors.* ◀

Moreover, the New Urban Agenda can play an important role in interpreting and complementing the urban dimension of the SDGs. The inclusion of a dedicated cities goal (SDG11) indicates recognition of their importance. Participants emphasized that as there are many other goals, targets and indicators which relate to urban development, progress towards sustainable development depends on the integration of urban issues across the entire SDG framework.

► *The NUA **should apply an urban lens** to the SDGs by addressing the challenges, opportunities, policy options and strategies for implementing the SDGs in an urban context.* ◀

Participants agreed that the implementation and review mechanisms of the New Urban Agenda are of fundamental importance for its political relevance.

► *The NUA should prioritize the creation of **enabling conditions** for cities.* ◀

Participants highlighted several specific contributions that the NUA could make:

Firstly, discussions on the New Urban Agenda need to clarify how it will address, involve and commit urban actors beyond the national governments involved in the UN negotiations, including regional and local governments, civil society and the private sector. Participants were concerned about this issue considering the current lack of clarity regarding stakeholder participation in the preparatory process. The NUA should help make the development of cities more **participatory and inclusive** by involving the wide range of stakeholders that will be important for the implementation of the NUA.

Secondly, **enhancing capacities at the city level** will be essential for implementation of the NUA. Implementation partnerships – between national and local governments, civil society, public-private partnerships, international networks, etc. – can mobilize know-how, funding and capacity. The NUA should define which stakeholders and institutions need to be involved for effective implementation, and which multi-level governance structures are needed for such partnerships to function.

Thirdly, implementing sustainable urban development requires effective **financing mechanisms**. A dedicated Habitat III policy unit examines municipal finance and local fiscal systems. Its focus should include proposals for innovative financing models and an in-depth examination of financing opportunities of the NUA as such, through the private sector, international banks, foundations, and others.

Fourthly, workshop participants stressed the importance of **national urban policy frameworks** in shaping sustainable urban development, and defining the roles, mandates and responsibilities of different levels of government based on the subsidiarity principle.

Lastly, workshop participants highlighted the importance of **monitoring, reporting and review mechanisms**. The complementarity between the SDGs and the New Urban Agenda

will also extend to monitoring. Where possible, it is thus advisable to streamline monitoring of the NUA with the SDG process. Discussions on monitoring and review also need to consider the frequency and platform for implementation progress reviews. Regular review cycles – every 4-6 years – are needed to identify and respond to implementation gaps in a timely fashion. Review summits could be incorporated into an existing platform, such as the World Urban Forum. Workshop participants recommended that the review process involve local governments, the private sector and relevant stakeholders from the onset. This increases accountability, transparency and ownership of the implementation, monitoring and review processes.

4.4 Way forward

Participants appreciated the strategic and comprehensive discussion on the purpose and implementation of the NUA and emphasized the need to continue this dialogue within the Cities Alliance as well as with the Bureau of the Preparatory Committee and the Habitat III Secretariat.

► *Participants recommended that the mechanisms for **coordination among the policy units** are elucidated, and that the scope of their work **incorporates the implementation arrangements** discussed above.* ◀

Workshop participants identified policy units 3 (national urban policies), 4 (urban governance, capacity and institutional development) and 5 (municipal finance and local fiscal systems) as particularly fundamental for designing an overarching enabling policy and strategy framework for cities and developing innovative financing models. These policy units should be tasked with identifying a limited set of key enabling conditions needed to ensure implementation of the NUA.

► *Participants emphasized that the New Urban Agenda requires strong **mechanisms for implementation, monitoring and review.*** ◀

The Cities Alliance will offer support to the Bureau by providing inputs to the drafting of the NUA, particularly with respect to these issues.

The Cities Alliance joint work programme on Habitat III will moreover discuss and **elaborate additional proposals to stimulate the debate.**

5. The Urban Dimension of the SDGs: Implications for the New Urban Agenda

Prof. Dr. Philipp Misselwitz with Jesús Salcedo Villanueva (Urban Catalyst Studio, Berlin and Günter Meinert)

5.1 Introduction and summary

This study summarizes initial findings of a study by Professor Philipp Misselwitz with Jesús Salcedo Villanueva commissioned by the German Development Cooperation GIZ. This summary was presented at the technical workshop run by the Cities Alliance JWP in support of Habitat III on 27 September 2015 in New York. The aim of this study is to provide scientific input into the discussion on how the New Urban Agenda/ Habitat III process could build on Agenda 2030 and complement it to ensure effective implementation. The study argues that it is necessary to understand that the urban dimension of Agenda 2030 goes well beyond the urban-orientated Goal 11. A systemic analysis of the SDGs from an urban perspective reveals a sound basis but also numerous missing links and content gaps which the NUA should address. The study

also argues that up to 65% of the SDG targets are at risk should local urban stakeholders not be assigned a clear mandate and role in the implementation process. A full report of the study will be published in November 2015.

5.2 Why do we need a New Urban Agenda?

The following scenarios summarize the pros and cons of considering the NUA as a standalone product (Scenario A) or, understanding it as a further elaboration of Agenda 2030 (Scenario B). The paper argues that the advantages of linking the NUA to the SDGs far outweigh the potentials of delinking it. With this in mind scenario B is then further elaborated: Scenario B1 considers the NUA as a potential tool to ensure effective SDG implementation in urban areas. Scenario B2 considers the NUA as an opportunity to directly address gaps within the SDGs to serve as an effective development tool for urban stakeholders.

Scenario A

Proud, but lonely: Habitat III as a delinked process and the NUA as standalone product



Figure 1: Delinking the NUA from the Agenda 2030 (scenario A)

Potentials:

- The NUA provides a comprehensive knowledge base and policy framework for urban development, directly addressing urban stakeholders.

Risks/ challenges:

NUA might not be relevant beyond the urban community, because:

- Political attention of UN Member States is captured/ consumed by Agenda 2030/ COP;
- monitoring, review and support to Agenda 2030 will absorb all available resources and marginalize the NUA;
- and local authorities might be squeezed out from the Agenda 2030 follow up.

The urban dimension of the Agenda 2030 might not be leveraged for sustainable development, because:

- SDG Goal 11 will be (mis-)understood as the only – and very limited -urban entry point into the Agenda 2030;
- of lesser chance for integrated approaches to urban development if urban concerns will only be addressed by targets of SDG 11;
- and the role and leverage for urban stakeholders implementing the SDGs is limited.

Scenario B

Filling the gaps: Strengthening the “urban” dimension of Agenda 2030



Figure 2: Linking the NUA to Agenda 2030 (scenario B)

Potentials:

- Complement the very limited and fragmented approach of Agenda 2030 towards integrated urban development.
- Improving ownership of SDGs through the involvement of local urban stakeholders such as city administrations, urban networks and non-state actors including NGOs, business, academia etc. in the policy recommendations of the NUA.
- Bolster the role and responsibilities of cities and local urban stakeholders by recognizing their indispensable contribution to achieving (almost) all of the SDG.

Risks/ challenges:

- SDG indicators writing process likely to be delinked from NUA drafting process.
- Current NUA process (policy papers, etc.) may lead to a fragmented and highly specific expert discussion.
- Lack of political will, advocacy, resources and preparedness to handle the complexity of urban development.

Scenario B1: The NUA as a guide for local implementation of SDGs

- Addresses one of the key criticisms stated vis-a-vis the SDGs, the lack of a so-called “implementation dimension” (roles, resources and capacities, finance, work plan, etc.).
- Provides the missing link between the complex universalist language of the global SDG agenda and locally specific urban cultures of implementation.

- Provides nexus and urban synthesizer, tying together loose ends such as relevant sector-specific targets and indicators in order to allow for the integrated implementation of all SDGs on local level.
- Provides effective policy recommendations and management tools to address the diverse local challenges, improve political frameworks, strengthen mandates, capacities and therefore leverage of local urban stakeholders.

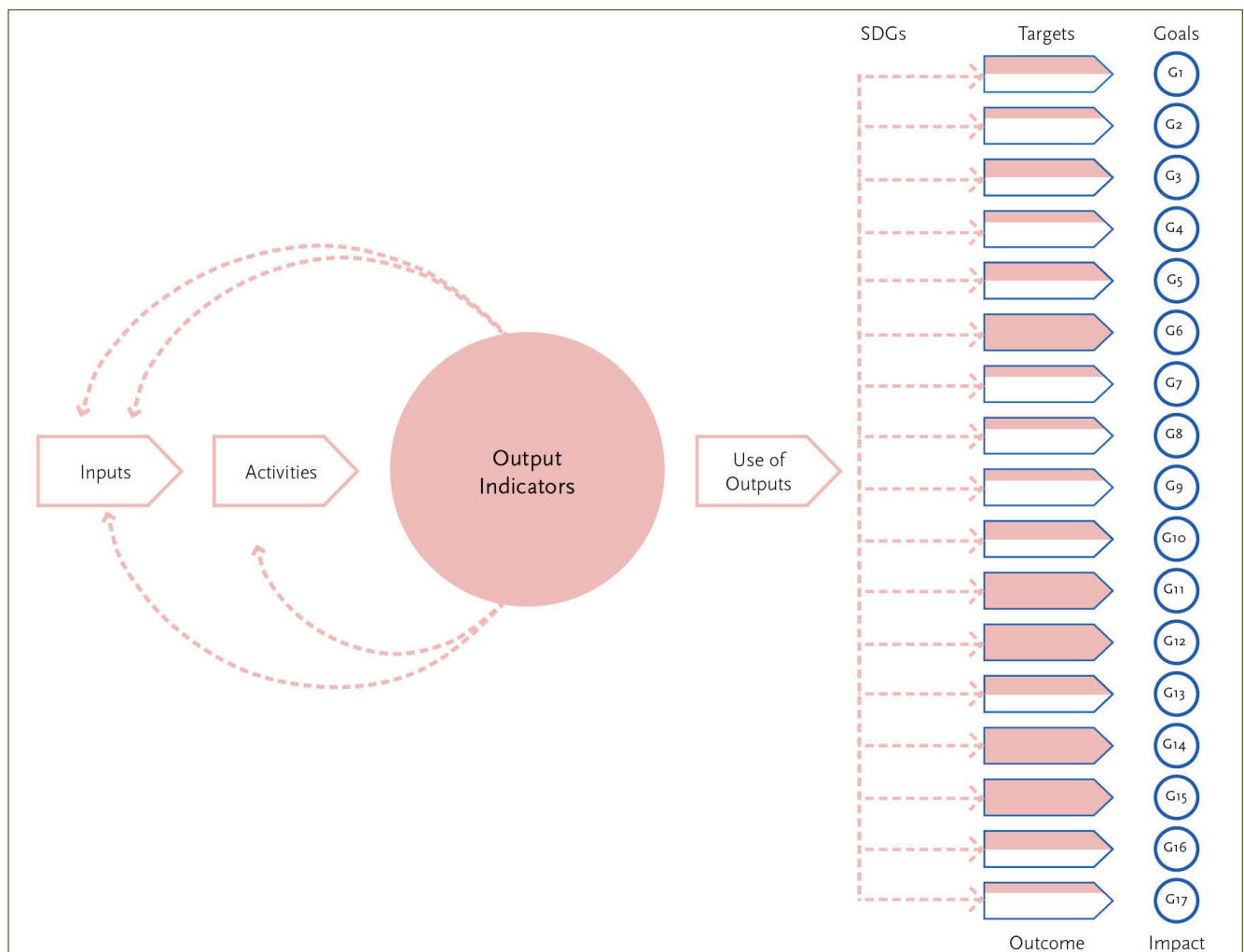


Figure 3: Illustration of NUA scenario B1 showing how the NUA (shown in pink) could provide an implementation framework (impact chain) for the SDGs. Source: Philipp Misselwitz, Jesús Salcedo Villanueva, Anna Rowell. 2015

Challenges for NUA elaboration process (incl. policy units):

- Identify thematic gaps/ missing systemic links within SDGs from an urban perspective
- Generate concrete proposals for urban SDG indicators
- Strengthen role/ leverage of the power of local urban stakeholders for SDG implementation (targets/ indicators)
- Draft policy recommendations for improving capacity and leverage of urban stakeholders

Scenario B2: The NUA as a tool for systemic improvement of the SDGs

- Recognizes that the SDG's urban dimension is latent in almost all of Agenda 2030 and is therefore much broader than Goal 11.
- Identifies the thematic urban gaps and the missing systemic links among SDGs and targets from an urban perspective.
- Identifies urban development as entry and leverage point to bolster the role and responsibilities of cities and local urban stakeholders in providing integrated solutions to achieve most of the SDGs on a local level and beyond.

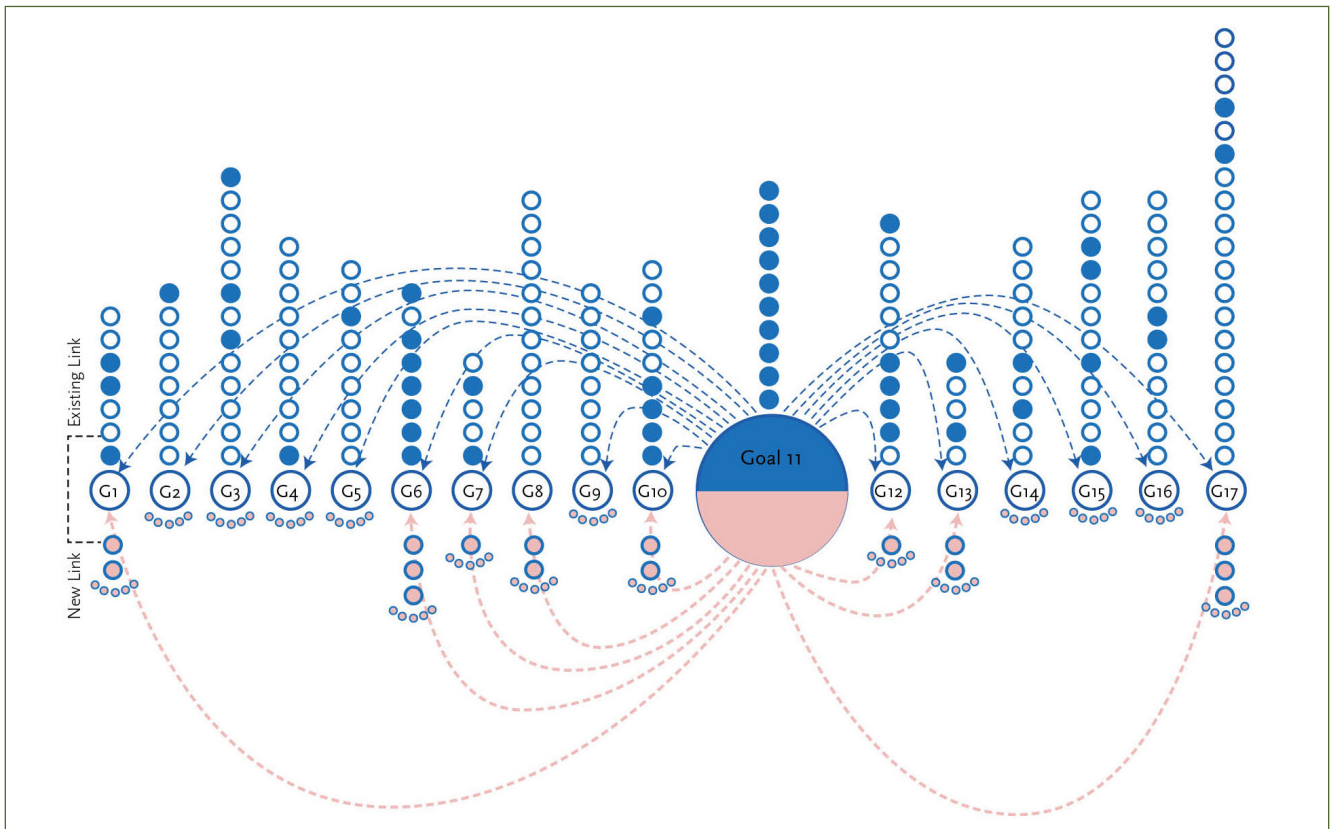


Figure 4: Illustration of scenario B2. Source: Philipp Misselwitz, Jesús Salcedo Villanueva, Anna Rowell. September 2015

Challenges for NUA elaboration process (incl. policy units):

- Identify and address thematic gaps/ missing systemic links within SDGs from an «urban» perspective.
- Generate concrete proposals for urban indicators.
- Strengthen role/ leverage of the power of urban stakeholders for SDG implementation.
- Draft policy recommendations for improving capacity and leverage of the power of urban stakeholders.

5.3 Systemic analysis of the Sustainable Development Goals (zero draft) from an urban perspective

The following analysis seeks to identify potential ways in which the NUA could serve as a tool for systemic improvement of the SDGs (scenario B2):

5.3.1 Identifying missing linkages among goals and targets of Agenda 2030

Linkages are not clearly defined within the SDGs. They can only be identified through interpretation. The following illustration brings together the results of two analyses which explore the interlinkages of SDG goals targets and indicators. From both analyses, those linkages are extracted that connect the urban-orientated Goal 11 to other goals, targets and indicators. While David Le Blanc (2015) has focused on

the identification of explicit links which refer to wording which clearly point towards issues covered by other goals/ targets/ indicators, the International Council for Science ICSU (2015) also identified implicit links referring to thematic interdependencies between goals and targets by interpreting the text of the zero draft of Agenda 2030. Le Blanc’s analysis primarily considers matching key words (identified through network analysis techniques) which point to the results of political intergovernmental negotiations through which direct linkages were agreed upon. ICSU on the other hand commissioned a group of experts to analyse the zero draft itself in order to identify interdependencies between goals and targets. A comparison between both analyses shows that the SDGs have many more scientific/ thematic linkages (ICSU) than explicit ones (Le Blanc, 2015). Both studies reveal also significant gaps.

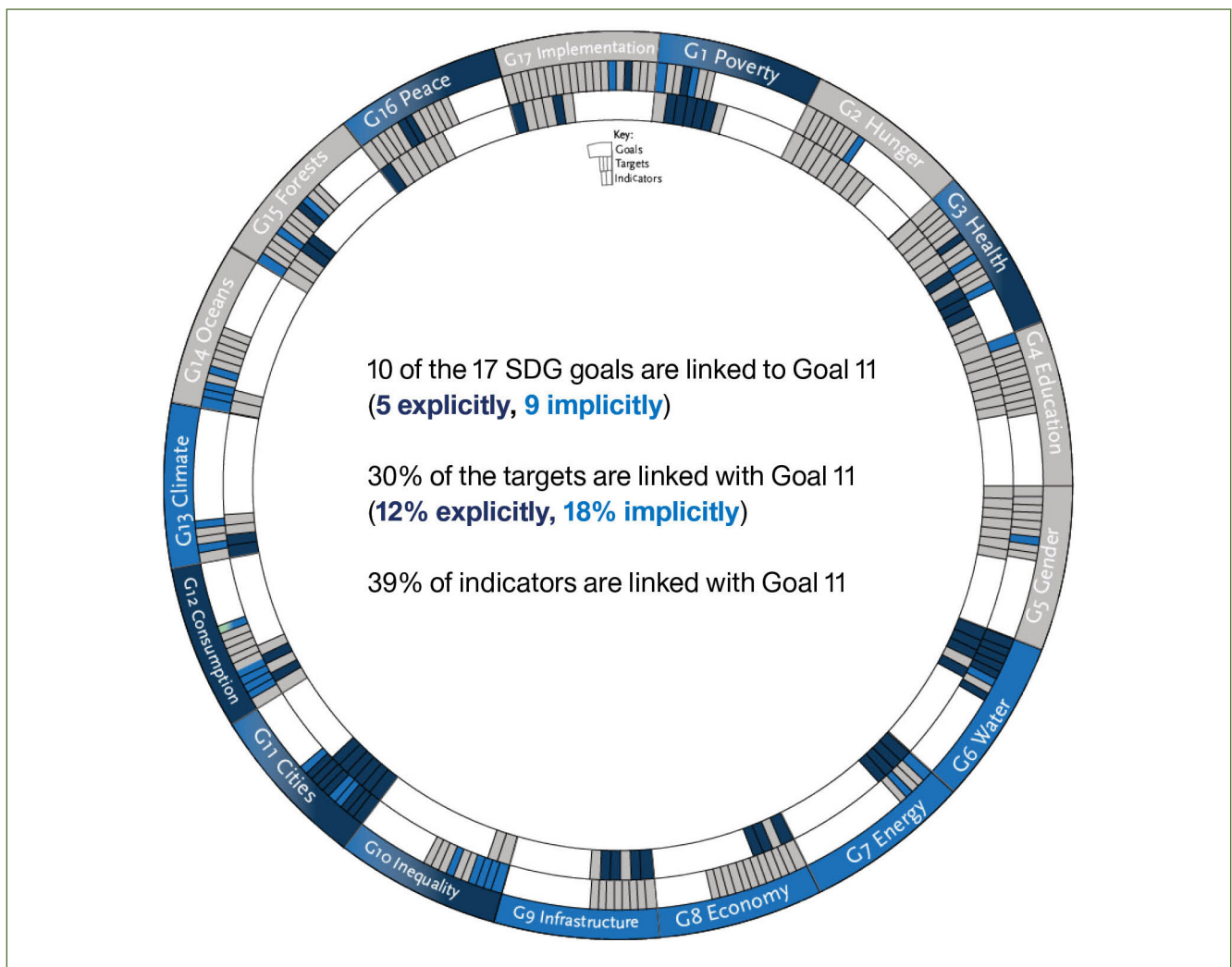


Figure 5: Illustration showing the urban dimension of Agenda 2030 through explicit and implicit linkages between Goal 11 and other goals, targets and indicators. Source: Philipp Misselwitz, Jesús Salcedo Villanueva, Anna Rowell. September 2015

Key findings

Urban dimension of the SDGs

- The urban dimension of the SDGs is much broader than SDG Goal 11, which is in itself a recognition of the importance of cities.
- The urban dimension is most present at the level of the goals (60%) and less present at the level of targets (30%) and indicators (39%); this is an indication of lack of clarity and specificity of the role and responsibility of all stakeholders (incl. national and urban).

Linkages from Goal 11 to other goals' targets

- Linkages between Goal 11 and other goals on the level of targets are extensive; 6 goals are strongly linked on the target level.
- No linkage between Goal 11 and Goal 10 (Inequality) and Goal 16 (Peace and Inclusive Society) on the target level.

Linkages between Goal 11 indicators and other goals and their targets

- Indicators of Goal 11 are strongly linked to other goals, but linkages to specific targets of other goals are poorly articulated.
- Indicators of other goals are strongly linked to Goal 11 (86%; this may reflect a recognition of the need for cross-sectoral and integrated approaches), but other indicators are much less linked to Goal 11's targets (only 36%)
- The gaps reflect the need to further develop the SDGs towards operationalization and implementation (indicators are not sufficiently multi-purpose).

5.3.2 Leveraging the power of local urban stakeholders in SDG target implementation

The SDGs do not consistently assign clear roles and responsibility for actors at any level

- The notion "local" is only mentioned five times in combination with "communities", "planning" or management processes.
- The notion "city" is only mentioned five times.

Leverage can only be identified implicitly through interpretation of existing wording. The role of local urban stakeholders.

"Can only be..."

Example: Goal 13 Climate, Target 13.3 "Improve education, awareness-raising and human and institutional capacity on climate change mitigation, adaptation, impact reduction and early warning".

"Should be..."

Example: Goal 13 Climate, Target 13.b "Promote mechanisms for raising capacity for effective climate change-related planning and management in least developed countries, including focusing on women, youth and local and marginalized communities".

"Should have, but SDG wording does seem to suggest so..."

Example: Goal 9 has been criticized for defining infrastructure in a very abstract way (financial services, scientific research, ICT, etc.) without defining sustainable infrastructure, clear targets and indicators.

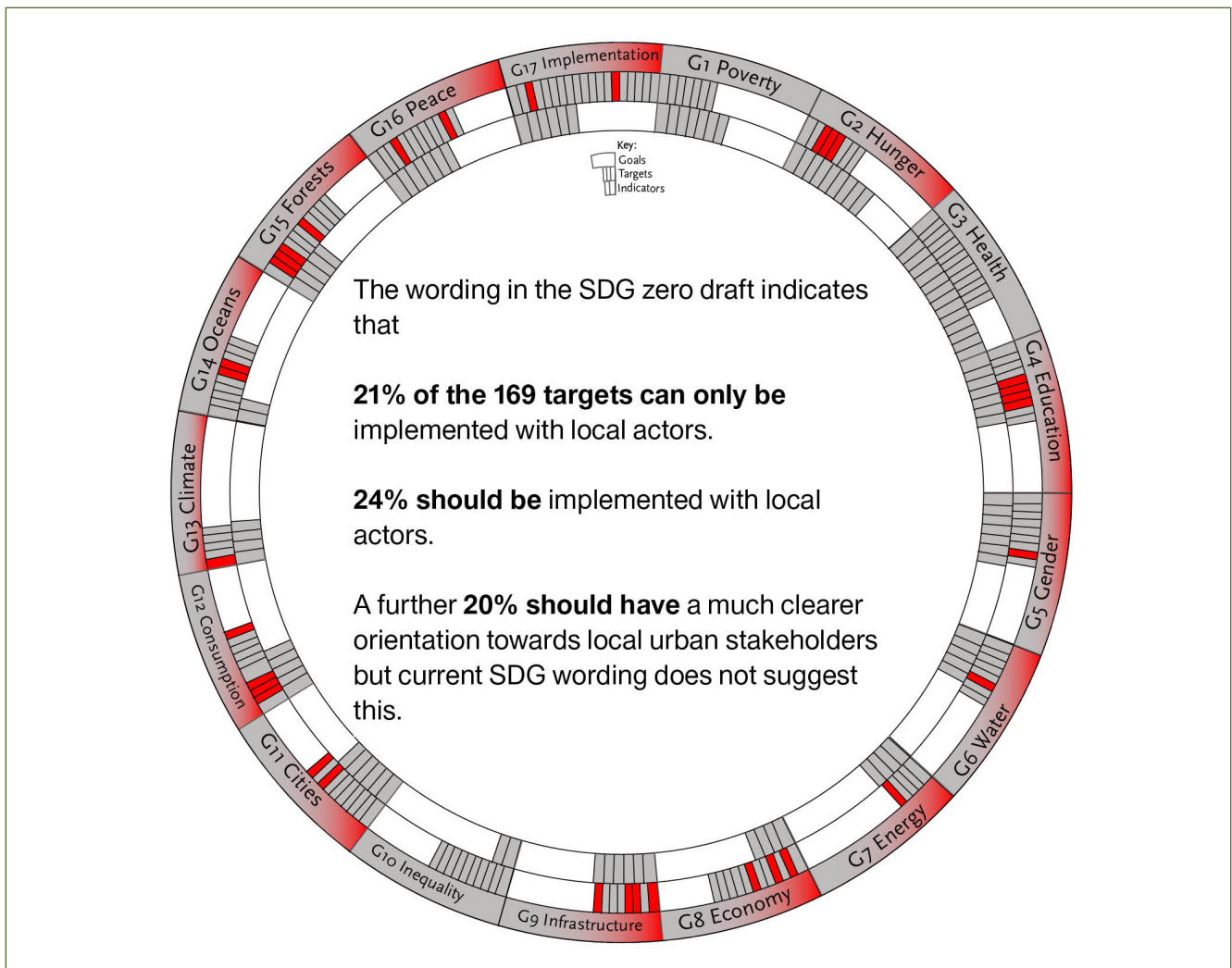


Figure 6: Illustration of the degree to which the SDG zero draft implies an involvement of local urban stakeholders. Source: Philipp Misselwitz, Jesús Salcedo Villanueva. September 2015

Summary of key findings

- SDG zero draft does not address how SDGs can be achieved (inputs, capacities, finance, political frameworks, challenges, etc.) nor by whom (roles and responsibilities, accountability).
- The way in which the SDGs are worded only point to a 45% indirect participation of local urban stakeholders in SDG implementation.
- A further 20% of the targets should be revised to build in the perspective of local urban stakeholders.
- Therefore a lack of appropriate involvement of local urban stakeholders may lead to significant failure of achieving the SDG targets (up to 65% of the targets are at risk).

5.3.3 Filling thematic gaps

The six identified thematic areas, the titles of the 22 issues papers or the naming of the 10 policy units designed to accompany the development of the New Urban Agenda do not seem to point towards clear linkages to the goals and targets of Agenda 2030. A closer analysis of three exemplary Issue Papers (Issue Papers Smart

Cities, Urban Resilience and Inclusive Cities) however reveal both, overlaps to the language of the zero draft of the SDGs (Figure 7) as well important themes and aspects that are not yet addressed by the SDGs (Figure 8). The analysis focused on the respective section 'Key Drivers', where the authors outline either means of implementation, tools, mechanisms, or specific governance modifications or enhancements.

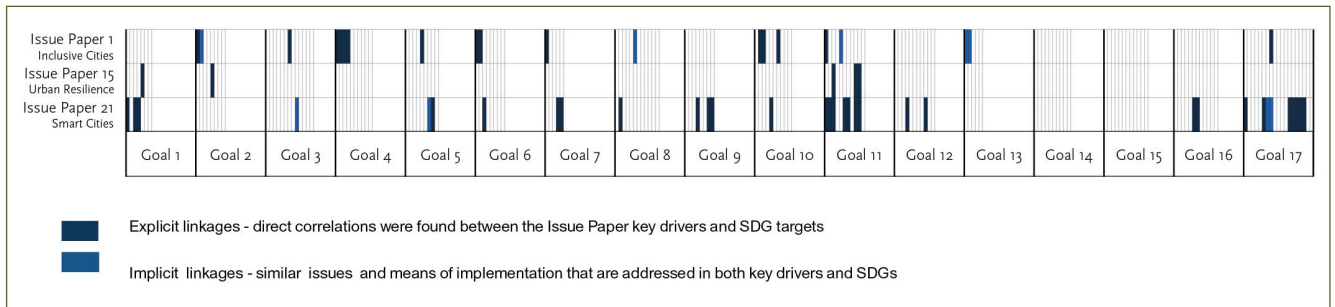


Figure 7: Example of three issue papers and their implicit and explicit linkages with the SDGs. Source: Philipp Misselwitz, Jesús Salcedo Villanueva, Anna Rowell. September 2015

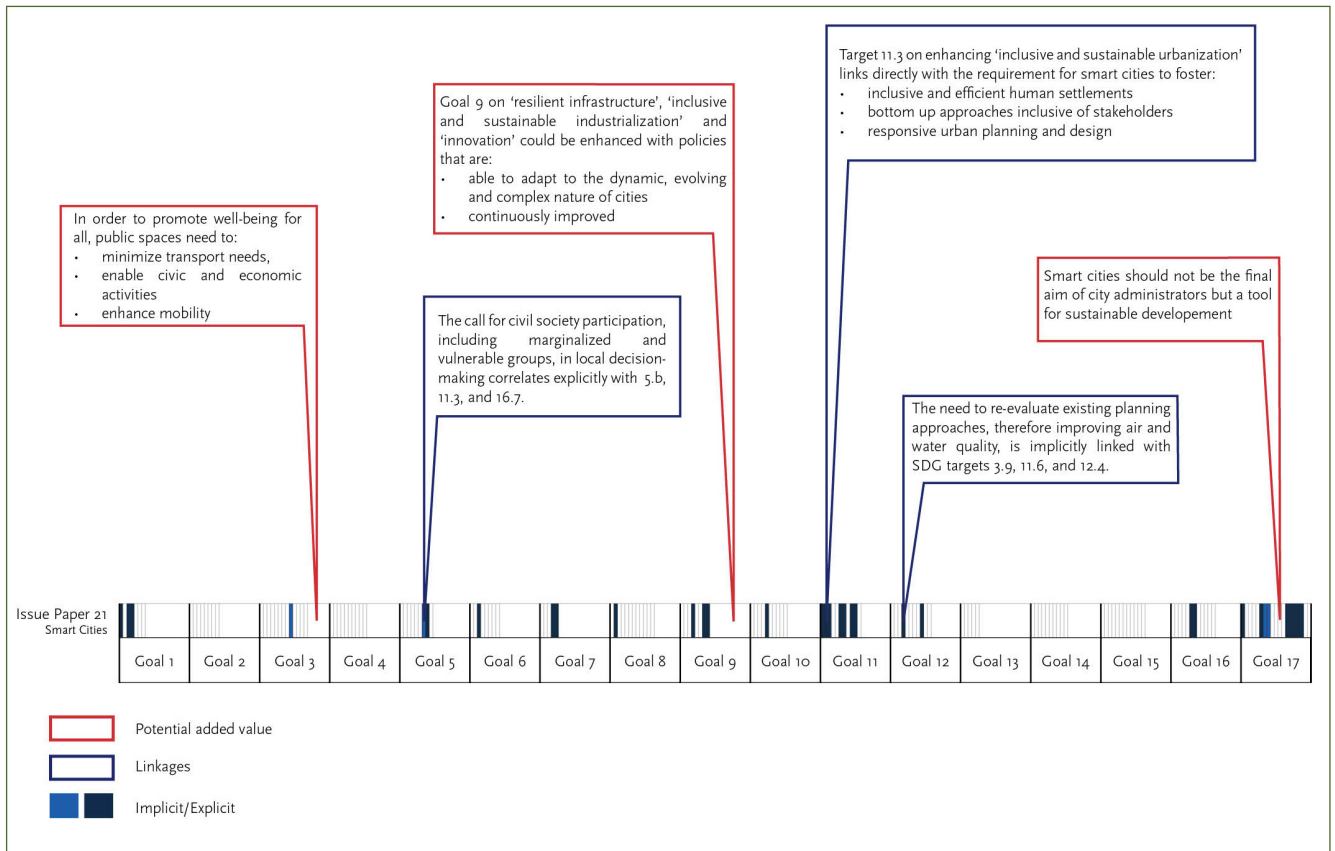


Figure 8: Example of SDG content overlap (red) and new content within Issue Paper 21: Smart Cities. Source: Philipp Misselwitz, Jesús Salcedo Villanueva, Anna Rowell. September 2015

5.4 Some conclusions and recommendations for the New Urban Agenda

- A Only if NUA complements (not duplicates) the SDGs can political attention and resource allocation during NUA implementation be secured.
- B Complementarity could therefore better leverage the mandate, capacity and power of local urban stakeholders as key agents to implement the entire SDG framework.
- C Linking the NUA to Agenda 2030 (beyond Goal 11) might help to foster implementation through integrated approaches driven by local urban actors, rather than sectoral programmes conceived by national governments.
- D The SDGs reveal a substantial but implicit urban dimension; the NUA could add value by formulating a clear aspirational vision, which can mobilize relevant urban stakeholders and guide local implementation.
- E The systemic functionality of the SDGs to guide sustainable urbanization through the involvement of local urban stakeholders could be improved if NUA addresses.

Missing important thematic issues:

- Issue papers identify overlap with SDGs but also key issues not addressed by the Agenda 2030.
- The NUA should identify these missing thematic issues and clearly link them to corresponding goals and targets.

Missing systemic interdependencies and linkages:

- Add linkage between Goal 11 and Goal 10 (Inequality) and Goal 16 (Peace and Inclusive Society) on the target level.
- The general gaps of interlinkages (at level of indicators to indicators and indicators to targets) reflect the need to further develop the SDGs towards operationalization and implementation (indicators are not multi-purpose enough).

- F **Up to 65% of the SDGs are at risk if local urban stakeholders are not involved. If the NUA is to improve the participation and leverage of local urban stakeholders, it should:**

- Address “How” the urban dimension of the SDGs can be achieved and define the conditions needed, including support, capacities and financial frameworks;
- assign clear roles and responsibilities and accountability of urban stakeholders;
- and develop policy recommendations that address the conditions needed to enable urban actors to meet their responsibilities.

- G **To ensure that the NUA becomes an effective tool supported by the national political level and the urban community the agenda should address.**

Ownership

- Despite a pressing time frame, allow full stakeholder participation and avoid compromising quality by acknowledging the actual resources (time, budget) currently invested in Habitat III/ NUA.

Credibility

- The conflict between being aspirational (risk: non-binding, co-optable) and being imperative following the spirit of earlier urban agendas (risk: prescriptive, can be misused).

Applicability

- Many indicators remain sectorally defined, single purpose, single scale as well as insufficiently linked.
- To ensure effective implementation of SDG goals the NUA should propose indicators which are multi-scalar and multi-purpose and therefore foster cross-sectoral integrated action.

Simplicity and flexibility

- Reduce complexity by focusing on a few key issues, which can change over time and accumulate; this would ensure flexibility and openness to respond to changing and unforeseeable needs and challenges with specific policies and programmes; gather experience and best practice over time to gradually build local policy frameworks.

Accountability

- The NUA should define an independent political evaluation and review process.

Learning

- This review process would establish means for corrections, additions, refinement in the spirit of a "learning agenda".

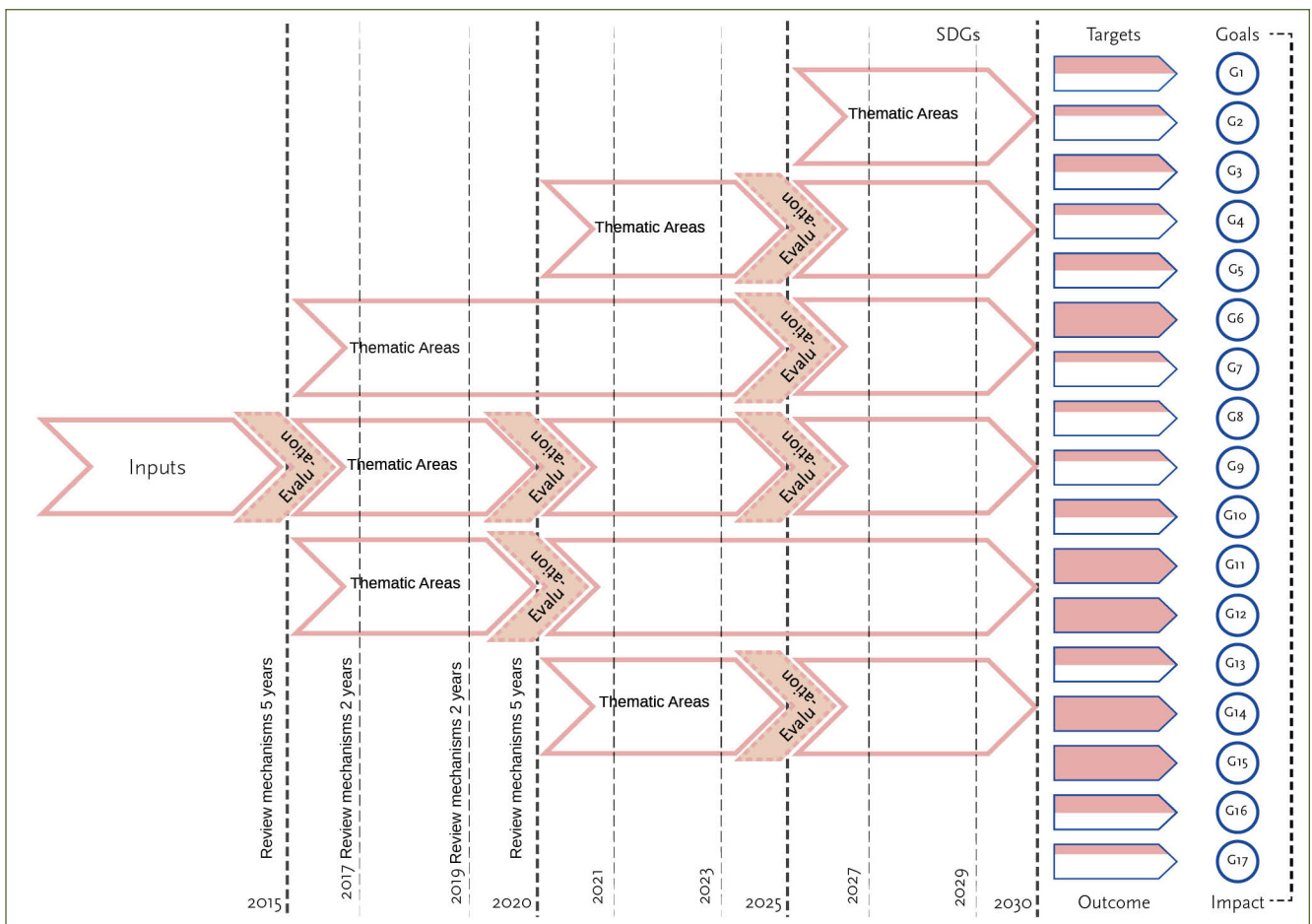


Figure 9: Illustration of a possible review process for the NUA, structured into five-year review mechanisms as well as two year adjustment mechanisms coinciding with the World Urban Fora. Source: Philipp Misselwitz, Jesús Salcedo Villanueva, September 2015

6. Monitoring, Review and Support Processes for the New Urban Agenda

Eleni Dellas and Alexander Carius (adelphi, Berlin)

6.1 Introduction and summary

This input paper was written by adelphi for a workshop on *The Sustainable Development Goals as an Opportunity to Strengthen the New Urban Agenda*, organized by the Cities Alliance JWP in support of Habitat III, and co-hosted by the Global Taskforce of Local and Regional Governments for Post-2015 and Habitat III. The workshop took place in New York on 27 September 2015. The paper was commissioned by GIZ.

The paper outlines the importance of strong monitoring, review and support processes for the New Urban Agenda. It discusses the experiences with monitoring, review and support in the context of Habitat III, relevant monitoring platforms by international organizations, non-state actors and others, and relevant mechanisms developed in the context of other international agreements.

Monitoring and review processes are essential parts of international agreements and will also be needed to support the implementation of the New Urban Agenda. **Monitoring** is understood here as data processing to track progress on the goals and targets of an agreement, e.g. through a set of indicators. A **review** process encompasses a critical assessment of progress towards the targets and goals agreed upon. It should also sustain political commitment over time and encourage political learning. To this end, review processes should provide recommendations on

how to address any shortcomings and to adjust policies if necessary. The monitoring and review process should moreover be complemented by **support** measures. Support in this sense involves providing assistance for implementation, for example through policy dialogues and peer-to-peer learning on design, evaluation, and adjustment of policies and strategies; and measures to enhance implementation capacities, e.g. through technical assistance and capacity building.

The design of the monitoring, review and support mechanisms for the New Urban Agenda should build on lessons learned from Habitat II, on the experiences of existing urban platforms and on related international agreements. The monitoring and review architecture for the 2030 Agenda for Sustainable Development is of particular importance for several reasons. Firstly, urban issues and local actors are fundamental for achieving the Sustainable Development Goals (SDGs). Secondly, potential synergies of data systems, workflows and institutional arrangements between the SDGs and the NUA should be utilized to the maximum extent possible. Thirdly, Habitat III and the NUA should connect to the political momentum of the Agenda 2030.

6.2 Experience with monitoring and review of the Habitat Agenda 1996

As the precursor agreement to the New Urban Agenda, the successes and shortcomings of monitoring and review of the Habitat Agenda (adopted at the Habitat II conference in Istanbul 1996) should be examined.

Progress on the Habitat Agenda was reported in national, regional and global reports, which built upon each other. UN-Habitat established the Global Urban Observatory to monitor progress on the Habitat Agenda and to provide inputs for various reports, such as the State of the World's Cities Report and corresponding regional reports on urbanization and city development. Recently, a City Development Index was developed by UN-Habitat to compare the development of cities on an aggregated level. At the national level, the UN recommended that countries (re-) establish National Habitat Committees involving a wide range of stakeholders. These committees should collect and analyze data, assess progress, identify best practices and compile these into national reports.

Additional urban databases created by other organizations tried to respond to a variety of monitoring needs (see below), but neither individually nor collectively allowed for a consistent monitoring of the Habitat Agenda across countries and over time. In addition, the review of progress on the Habitat Agenda has been deemed especially insufficient. The Istanbul+5 Conference 2001 in Berlin was the only mayor political review at the global level. Neither subsequent sessions of the Governing Council of UN-Habitat nor the World Urban Forums – despite their merits in other aspects – triggered a coherent follow up of the Habitat Agenda.

The reasons for these shortcomings will have to be analyzed carefully. The breadth of the Habitat Agenda certainly plays an important role, and so does the lack of sufficient support for extensive peer learning and capacity building. **To avoid these pitfalls, the New Urban Agenda needs to include strong monitoring, review and support processes to ensure adequate political commitment and adjustments to implementation strategies over time.**

6.3 Existing urban monitoring platforms

In recent years, various international organizations, state and non-state actors have developed a variety of monitoring platforms addressing urban issues. To avoid duplicating

their activities and creating an excessive monitoring burden, **synergies between these platforms and the New Urban Agenda should be identified and utilized.**

Some of these monitoring platforms cover specific issues or sub-topics that are relevant to cities. For example, the *carbons Climate Registry* (cCR) provides a platform for local governments to report and measure their local climate action developments, while UN-Habitat's *City Resilience Profiling Program* (CRPP) provides tools for monitoring, measuring and developing responses to hazards and urban resilience. Other initiatives and platforms monitor progress on indicators related to urban issues in specific regions. For example, EUROSTAT's *City Statistics* monitor indicators related to quality of life in cities in the EU, Norway, Switzerland and Turkey.

A broad platform that provides information on a wide range of topics that are potentially relevant to the New Urban Agenda is the *World Council on City Data* (WCCD). The WCCD provides standardized data on cities to aid decision-making, facilitate targeting and help leverage government funding for priority issues. It tracks 100 indicators on 17 themes including e.g. economy, energy, environment, finance, water and sanitation. These indicators are part of the international standard ISO 37120 Sustainable Development of Communities.

None of these monitoring platforms covers all issues that are likely to be included in the New Urban Agenda. They are moreover insufficiently (or not at all) linked with high-level review and lack coherent support processes. Nonetheless, they could be useful partners for the New Urban Agenda, and it is worth analyzing to what extent these platforms can be **aggregated in an overarching, collaborative monitoring, review and support system** for the NUA.

6.4 Monitoring and review of the Sustainable Development Goals

Discussions with respect to monitoring and review in the context of the SDGs are particularly relevant for the New Urban Agenda. Firstly, the importance of and requirements for effective

monitoring and review processes have been discussed extensively in preparation for the UN summit to adopt the post-2015 development agenda. These discussions provide many useful lessons for the New Urban Agenda. Secondly, the thematic overlaps between the proposed SDGs and the New Urban Agenda may also provide avenues for collaboration, particularly with respect to monitoring. And, thirdly, the NUA needs to capitalize on the political momentum generated by the SDGs.

The potential overlaps between the SDGs and the New Urban Agenda are extensive. The *urban SDG 11* is the most obvious urban component of the SDGs. Additionally, the inclusion of urban issues in the targets and indicators of many other SDGs and the fundamental role of local actors for achieving more than half of the SDG targets highlight the strong urban dimension². The proposed SDG indicator framework moreover recognizes the importance of urban development by emphasizing disaggregation. Thus, where possible and appropriate, indicators will likely be disaggregated along multiple dimensions, including spatial dimensions (e.g. urban and rural), with an emphasis on achieving targets for all relevant groups.

Ongoing discussions with respect to the SDG indicators emphasize the trade-offs between an expansive set of indicators (potentially problematic due to lacking data availability, and too costly to implement for national statistical offices), or focusing on a more limited set of crosscutting indicators that can track progress on multiple goals and targets. To track progress on trans-sectorial urban development, a limited number of indicators would need to be developed carefully to adequately capture the complex nature of urbanization and the broadly formulated SDG targets.

Data availability is a further issue to be considered, both with respect to monitoring of the SDG indicators as well as the NUA. Recent pilot studies of indicators for SDG 11 have highlighted

potential difficulties in developing and monitoring indicators. These studies indicate e.g. that data availability, data collection and interpretations of indicators differ, complicating cross-city comparisons of data. Thus, capacity building and training initiatives on urban indicators may prove essential to support data collection and monitoring.

However, the extensively discussed **data gap** should not distract from the purpose of monitoring, which ultimately is to support decision-making at the political and managerial level. In the past, the **policy gap** has been at least as broad as the data gap. **Shortcomings regarding data and monitoring should not impede meaningful review and follow up measures.**

Progress on the SDGs will be subject to an **extensive review process aimed at renewing political will, enabling dialogue and providing guidance.** Discussions on review of the SDGs highlight that monitoring needs to be complemented by a review process that asks governments critical questions regarding their successes and failures at achieving goals and targets.

The review process can help to (re-) allocate resources and identify what exchange of knowledge and best practices is needed. This may be an incentive for countries to participate in the review process, which is important considering the voluntary nature of the agreement.

Even though the SDG Agenda and the NUA will be intergovernmental agreements, their success depends on the voluntary commitment and action of many actors, especially at the national and local level. Stakeholder participation is therefore fundamental: **what stakeholders will be involved in the monitoring and review process, and how?** The outcome document of the SDG summit emphasizes that monitoring and review will be government-led, but also highlights that this process should be open and inclusive. Moreover, the review will be structured as a **multi-level process.** Firstly, a national level review allows stakeholders and society more broadly to review national progress jointly with their government. Secondly, a regional review

² Misselwitz, Philipp et al 2015: The Urban Dimension of the SDGs: Implications for the New Urban Agenda. Paper to be presented at the Cities Alliance Workshop in New York, September 27, 2015.

of governments amongst each other is intended to facilitate peer learning. Finally, a global level review will occur in the context of a **High-Level Political Forum** (HLPF), which will meet annually under the auspices of the Economic and Social Council (ECOSOC), and every four years under the auspices of the General Assembly. Stakeholders (e.g. Major Groups) will have extensive participation opportunities in the HLPF, including attendance of all official meetings, submitting documents and oral contributions, and making recommendations (UNGA resolution 67/290). Monitoring and review of the SDGs will absorb much political attention and institutional capacity, possibly lessening the allocation of such resources to the NUA. Hence, the NUA should **identify and utilize potential synergies with the SDG monitoring and review framework**.

As a voluntary agreement similar to the SDGs, the New Urban Agenda should consider lessons learned from the SDGs concerning the design of its review process. In particular, discussions on the SDG review process indicate the need to include measures to encourage **sharing of best practices, technical support, and capacity building for implementation**. Likewise, the NUA should include such measures explicitly in a clearly defined support mechanism, which still needs to be developed. However, **stakeholder participation** in the NUA review process should be more extensive than envisioned for the SDGs and specifically emphasize participation by local authorities and civil society, considering their key role in implementing the New Urban Agenda.

6.5 Implications for the monitoring, review and support of the NUA

Ongoing discussions indicate difficult trade-offs between different approaches to **monitoring**. On the one hand, an expansive and comprehensive set of indicators will be (prohibitively) costly to monitor. On the other hand, a limited set of indicators may not be suitable to track the complexity of urbanization processes. In this context, it is advisable to identify potential synergies between the New Urban Agenda, the SDGs and other existing monitoring platforms and initiatives. No existing monitoring platforms

track all issues that may potentially be relevant to the New Urban Agenda. However, different monitoring platforms may contribute to different parts of a multi-level monitoring system. A multi-level monitoring system – composed of local, national, regional and global monitoring – is moreover essential for the New Urban Agenda. In this context, a challenging option that is nonetheless worth considering is the establishment of a **collaborative arrangement to aggregate, complement and align different monitoring activities**.

Experiences with Habitat II and discussions in the context of the SDGs **indicate that a meaningful review process** is needed that thoroughly assesses implementation and facilitates political learning. The New Urban Agenda will need a forum similar to the HLPF for the SDGs to lead a regular review process at the international (UN) level. To ensure political commitment, it is important that the process is led by a **platform or institution with high relevance and standing in the UN system**. Additionally, as many urban aspects of the SDG Goal 11 and beyond) will be reviewed by the HLPF, synergies with the global SDG review should be identified and built upon. The review process for the NUA should moreover be structured as a **multi-level review** at the national, regional and global level. City networks or platforms could significantly contribute to all levels of such a multi-level review process and could involve a wide range of stakeholders.

The outcome document for the SDG summit mentions some elements of a support process. The New Urban Agenda should go beyond this and explicitly include **support measures** to address any implementation gaps identified during the review process. As the review process will be voluntary, the inclusion of support measures that emphasize e.g. capacity building, access to technical and financial support can provide clear incentives for participation. Such support measures may also include measures to improve data availability, particularly in regions and cities (e.g. secondary cities) where the capacity to collect, maintain and interpret data from various sources is often lacking.

In the context of the New Urban Agenda it is important to ensure institutionalized **participation** of local authorities, city networks and civil society networks in all parts of a multi-level review process, as these actors will significantly contribute to the NUA's implementation. Including local authorities and related stakeholders in the review process can also contribute to identify their specific support needs in terms of capacity building, technical assistance and financial needs. Their participation will contribute to increased accountability, transparency and ownership of the implementation of the NUA as a whole.

Key components to monitor, review and support the implementation of the New Urban Agenda

- 1) An outcome document of Habitat III that ensures political commitment to a **limited and clearly defined number of goals and targets**. These may include principles and guidelines suitable also for **qualitative monitoring**.
- 2) A **collaborative arrangement** that aggregates, complements and aligns different monitoring platforms.
- 3) An institutional architecture for the **review process** that secures political commitment, facilitates political learning, and creates an institutional home for this process.
- 4) A **support mechanism** linked to the monitoring and review process that facilitates access to capacity building and technical support for implementation of the NUA.
- 5) Meaningful **participation** of stakeholders in the monitoring, review and support process, in particular of local authorities and civil society organizations.

Guiding Questions

- What measures are needed to support **data** availability for the monitoring of the New Urban Agenda at the local, national and international level? What stakeholders should be involved in this process?
- What existing **monitoring activities** should be included in the NUA monitoring process? What are their benefits and limitations? Who are the key actors involved?
- What elements are needed for a strong NUA **review process** that helps to renew political will, identify and address implementation gaps?
- To what extent can, and should, non-state actors and other **stakeholders** be involved in the review process for the NUA? What mechanisms are needed to facilitate extensive stakeholder participation in the NUA review process?
- What **institutional arrangements** are needed for coherent, transparent and politically relevant NUA monitoring, review and support processes?
- What **support measures** should a review process include?

7. Moderator's Conclusions: The SDGs as an Opportunity to Strengthen the New Urban Agenda

Alexander Carius and Eleni Dellas (adelphi, Berlin)

7.1 Introduction and summary

On 27 September 2015, the Cities Alliance Joint Work Programme on Habitat III hosted a workshop on the New Urban Agenda. The workshop examined how the NUA can contribute to the implementation of the Sustainable Development Goals in an urban context, and the mechanisms needed to support its implementation. The workshop was moderated by Alexander Carius (director, adelphi) and attended by the Cities Alliance Secretariat and members of the JWP, including UN-Habitat, UCLG, Germany (GIZ), France (MFA), SDI and HFHI, as well as representatives from various other organizations, cities and academia. The workshop highlighted the opportunities and implications of linking the SDGs and the New Urban Agenda. It emphasized the importance of enabling conditions to support cities in addressing the manifold challenges and opportunities they face. These moderator's conclusions summarize the discussion at the workshop.

7.2 Strengthening the New Urban Agenda

On 25 September 2015, the heads of state and government adopted the 2030 Agenda for Sustainable Development, which includes an ambitious set of 17 Sustainable Development Goals (SDGs) for the next 15 years. This summit in New York also provided an opportunity to reflect on the

relationship between the SDGs and sustainable urban development. In this context, the Cities Alliance JWP hosted a workshop on "Sustainable Development Goals as an opportunity to strengthen the New Urban Agenda" on 27 September 2015. Participants discussed how the NUA can contribute to the implementation of the SDGs in an urban context, and the monitoring, review and support mechanisms that are needed to support its implementation.

7.3 The urban dimension of the SDGs

Workshop participants highlighted that the inclusion of SDG 11 on sustainable cities and communities implies recognition of the relevance of urbanization for development. Emphasizing the contributions of cities and communities to economic growth can help increase support for sustainable urban development policies. However, the potential benefits of urban development for a transition towards sustainability need to be communicated better. Cities are still too often perceived exclusively as a problem rather than a solution for development.

The audience welcomed an analysis of the urban dimension of the SDGs and its implications for the New Urban Agenda by Prof. Phillip Misselwitz (Berlin Institute of Technology). He argued that local actors need to be involved for the successful implementation of the majority of the sustainable development goals and targets.

► Local actors are essential for the implementation of the SDGs. They need to be supported so that they can deliver progress on all relevant urban targets and goals. ◀

7.4 Interlinkages between the SDGs and the NUA

There was a consensus that the NUA needs to link to the SDGs, as these will guide development assistance, human resources, financial flows, and political attention for the next 15 years. Thus, it would be difficult for Habitat III to garner sufficient attention if conceived as an independent agenda. Different ways for the NUA to build on the urban dimension of the SDGs were discussed. The narrowest approach would involve focusing exclusively on the implementation of SDG 11. A more ambitious approach would address the implementation of the urban dimension of all SDGs. An even more expansive NUA would elaborate on topics of relevance for sustainable urban development that the SDGs do not sufficiently cover, and develop additional targets and indicators.

Participants highlighted that only an approach that covers the urban dimension of all SDGs can help avoid fragmented sectoral implementation and facilitate their integrated implementation in cities, and underline the mandate of local authorities for balancing conflicts of interest and addressing trade-offs between different goals and targets. However, developing such a comprehensive approach is resource-intensive and demanding, raising questions regarding what is still realistic and manageable in the limited time remaining until the Habitat III conference in October 2016.

► *Different ways of linking the SDGs and the NUA need to be reviewed to identify an approach that is both coherent and realistic.* ◀

7.5 Communicate benefits of an urban policy

Several participants voiced concern that the SDGs have thus far received little resonance in domestic policy arenas. Framing the SDGs and NUA primarily as a technical discussion would limit its relevance for mayors, citizens and other stakeholders. However, their acknowledgement of and substantial involvement in the implementation and review of both the SDGs and the NUA is essential. Stakeholders need to understand how they can both benefit from and contribute to these political commitments, and how they can use them to hold their (local) government accountable.

Likewise, the urban dimension of the SDGs and

the role of local actors in their implementation need to be communicated to political leaders and embedded in national urban development policies. Participants voiced concern that this is thus far insufficiently recognized.

► *As voluntary commitments such as the SDGs and the NUA depend on the support of a wide range of actors, they need to be effectively communicated to a broad audience.* ◀

7.6 Create enabling conditions for local authorities

Most cities and communities are not in a position to effectively implement SDG 11 and related goals and targets, either because they lack adequate financial and technical capacities, or because legal, fiscal and institutional regulations constrain their influence. Participants agreed that the NUA has to create the necessary conditions for cities and communities to deliver. This was considered important because local governments have to address a wide range of challenges and often have to respond to unexpected crises, ranging from natural disasters to an influx of refugees. The NUA will moreover be a global agenda that has to address both the problems facing the aging cities of developed countries, as well as the unplanned rapid growth of many cities in developing countries. These trends require local governments with the capacities and enabling conditions to respond in a timely and coordinated manner.

7.7 Monitoring, review, and support

Effective implementation of the NUA requires improved monitoring and transparent data, a review process to assess progress and foster policy learning, and support mechanisms to coordinate implementation and build capacities.

Workshop participants discussed both the technical and political aspects of **monitoring**. There is a need to sustain and increase data collection in urban environments. Low-cost, credible monitoring solutions exist, and need to be used so that planning and investment decisions can be based on evidence. Improved data availability also provides an opportunity to demonstrate the contributions of cities to sustainable growth to national governments and the private sector.

Monitoring moreover is the basis for a transparent **review** process. To be meaningful, a NUA

review needs to be a critical, high-level process that contributes to improved implementation by being linked to **support** measures, such as exchange of good practices and experiences, technology transfer and financial support. The possibilities of synchronizing and linking these processes with the SDGs should also be considered, given the resources and political attention that will likely be dedicated to the SDGs. The process should be structured to allow for the coherent review of the NUA as well as the urban dimensions of the SDGs. Participants moreover emphasized the importance of creating monitoring and review processes that are transparent and inclusive for all stakeholders involved in urban development.

► *The New Urban Agenda needs strong monitoring, review and support mechanisms to facilitate its implementation.* ◀

8. Annex 1:

List of review mechanisms

The following list includes the review mechanisms for different international and regional organizations and agreements. The mechanisms included in this list are highly heterogeneous, including both mechanisms that are voluntary and ones that are mandatory. Some of the reviews are global (e.g. HLPF), while others are regional (e.g. APRM). The mechanisms also differ along numerous other dimensions, e.g. regularity of review, number of countries included, extensiveness of support measures, peer review and/or expert review, level of involvement of stakeholders, etc.

African Peer Review Mechanism (APRM): peer review mechanism amongst the Member States of the African Union.

Asia-Pacific Economic Cooperation (APEC) Peer Review on Energy Efficiency (PREE): review of the energy efficiency policies of APEC member countries by experts and member countries.

Development Cooperation Forum (DCF): biennial high-level review of international development cooperation.

Global Forum on Transparency and Exchange of Information for Tax Purposes: peer review of members' implementation of the standards they have committed to.

High-Level Political Forum (HLPF): reviews progress on the implementation of the post-2015 development agenda and the SDGs.

International Energy Agency (IEA) Energy Policy Reviews: peer review of energy policies.

International Monetary Fund (IMF) Surveillance Mechanisms: reviews at the

country, regional and global level of economic developments.

Mechanism for the Review of Implementation of the United Nations Convention against Corruption (UNCAC): peer review by and of member countries' implementation of the UNCAC.

Organisation for Economic Cooperation and Development (OECD) Peer Review: analysis of different policy areas in OECD Member States by other Member States.

OECD Development Assistance Committee (DAC) Reviews: peer reviews of development policies in DAC Member States.

United Nations Conference on Trade and Development (UNCTAD) Investment Policy Review: review of country's regulatory and institutional frameworks to attract foreign direct investment.

UNCTAD Peer review of Competition Law and Policy: expert and peer review of policies, with the opportunity to receive assistance to implement recommendations.

United Nations Economic Commission for Europe (UNECE) Environmental Performance Reviews: a regional review mechanism that assesses country progress on environmental and economic targets.

Universal Periodic Review (UPR): review of the human rights records of all UN Member States.

World Trade Organization (WTO) Trade Policy Review Mechanism: review of national trade policies.

9. Annex 2: Crucial components of the SDG monitoring and review processes

The SDG review process will be voluntary and led by governments. The following components are mentioned in the outcome document of the UN summit for the 2030 agenda on sustainable development:

Monitoring: the monitoring framework will be composed of global, regional and national indicators, and is intended to integrate a wide range of data sources. The document calls for capacity building initiatives in developing countries with respect to monitoring and data collection.

National-level review: Member States are encouraged to conduct regular and inclusive reviews both at the national and sub-national level, and include contributions from a wide range of stakeholders. The national level review is seen as the basis for the overall review process.

Regional review: Voluntary regional review processes are intended to facilitate peer learning and sharing of best practices. They are encouraged to draw upon existing regional review mechanisms.

Global review: The voluntary, state-led global level review process of the SDGs will be conducted by the HLPF, both annually under the auspices of ECOSOC, and every four years under the auspices of the General Assembly.

Follow-up: the outcome document mentions follow-up as a component of the regional and global reviews. While not clearly defined in the outcome document, follow-up is generally understood as a means to check whether recommendations made during a review have been implemented.

Support: the outcome document emphasizes the need to mobilize support, engage in capacity building, facilitate mutual learning and exchange best practices.

Participation: While government-led, the review process is nonetheless intended to be open, participatory and transparent. Including stakeholders in national-level reviews is encouraged, but not mandatory. With respect to the HLPF, extensive participation opportunities were granted to stakeholders in UNGA resolution 67/290.

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