



URBAN- RURAL LINKAGES: GUIDING PRINCIPLES

**Framework for Action
to Advance Integrated Territorial Development**

UNHABITAT
FOR A BETTER URBAN FUTURE

Urban-Rural Linkages: Guiding Principles Framework for Action to Advance Integrated Territorial Development

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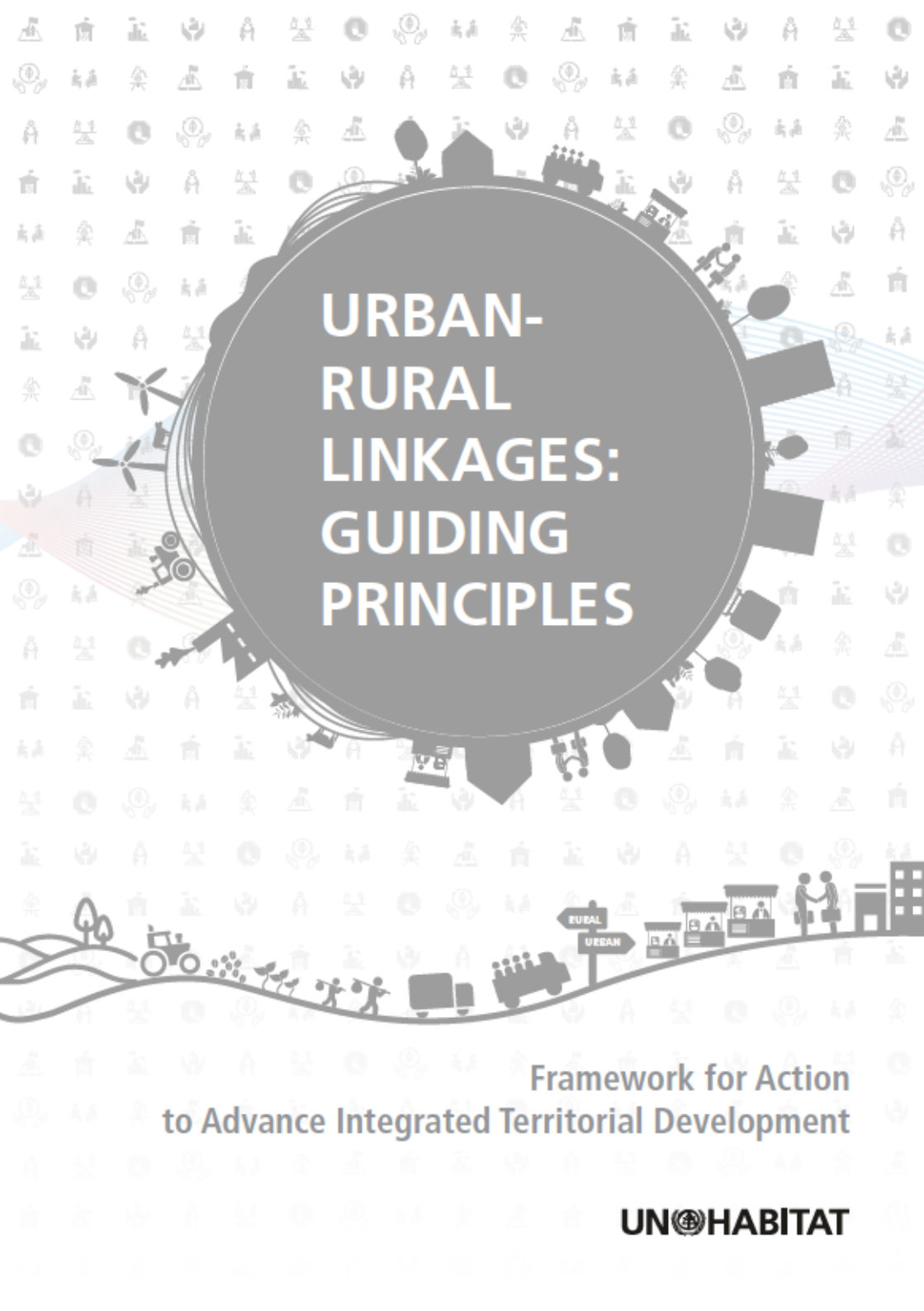
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Framework for Action
to Advance Integrated Territorial Development

UN HABITAT

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Acronyms and Abbreviations

ACC	African Centre for Cities, University of Cape Town
BMZ	German Federal Ministry for Economic Cooperation and Development
CAP	Commonwealth Association of Planners
CBD	Convention on Biodiversity
CFS	Committee on World Food Security
CSFS	Centre for Sustainable Food Systems, Wilfrid Laurier University
CIRAD	French Agricultural Research Centre for International Development
CLF	Johns Hopkins University Center for a Livable Future
CSO	Civil Society Organization
DRR	Disaster Risk Reduction
FAO	United Nations Food and Agriculture Organization
FIAN	FoodFirst Information and Action Network
GAIN	Global Alliance for Improved Nutrition
GHG	Greenhouse Gasses
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GP-URL	Guiding Principles for Urban Rural Linkages
GPS	Global Positioning System
ICLEI	Local Governments for Sustainability
ICT	Information and Communication Technologies
IFAD	International Fund for Agricultural Development
IG-UTP	International Guidelines on Urban and Territorial Planning
ILM	Integrated Landscape Management
ITD	Integrated Territorial Development
MSME	Micro, Small and Medium Enterprises
MUFPP	Milan Urban Food Policy Pact
NCDs	Non-Communicable Diseases
NGO	Nongovernmental Organization
nrg4SD	Network for Regional Governments for Sustainable Development



NUA	New Urban Agenda
NUP	National Urban Policy
OECD	Organization for Economic Cooperation and Development
PES	Payment for environmental services
RAI	Responsible Agricultural Investment
RBA	Rome Based (Food) Agencies
RIMISP	Centro Latinoamericano para el Desarrollo Rural
RUAF	Resource Centres on Urban Agriculture and Food Security
SDGs	Sustainable Development Goals
SloCaT	Partnership on Low Carbon Transport
SLU	Swedish University of Agricultural Sciences
TOD	Transit Oriented Development
UBA	German Environment Agency
UCLG	United Cities and Local Governments
UFZ	Helmholtz Centre for Environmental Research
UNCRD	United Nations Regional Development Centre
UNECA	United Nations Economic Commission for Africa
UNEP	United Nations Environment Programme
UN-HABITAT	United Nations Human Settlements Programme
UNU-IIGH	United Nations University International Institute for Global Health
URLs	Urban Rural Linkages
VGGT	Voluntary Guidelines for Responsible Governance of Tenure of Land, Fisheries and Forests
WASH	Health: Water, Sanitation And Hygiene
WFP	United Nations World Food Programme
WHO	United Nations World Health Organization



Foreword



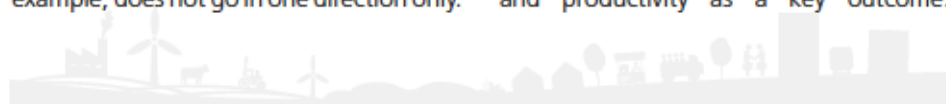
I am delighted to present the publication “Urban-Rural Linkages to Advance Integrated Territorial Development: Guiding Principles and Framework for Action”. This comes at a time when spatial inequality between the urban and rural areas is of great concern in the global agenda.

Within 30 years, two-thirds of the world’s population will live in urban areas; 90 per cent of urban growth will occur in less-developed regions such as East Asia, South Asia, and sub-Saharan Africa, at a rapid pace and in situations where capacities and resources are most constrained and development challenges are most intense. This makes the relationship between urban and rural communities an increasingly important one.

Urban and rural communities do not live in isolation from one another. The flow of people, goods, services and transport, for example, does not go in one direction only.

In fact, there is a repeated and reciprocal circular movement across the urban-rural continuum that connects these areas and generates a synergy that is greater than the sum of the parts, and that contributes to functional, integrated territories and regions.

This urban-rural relationship is increasingly the focus of attention from national, regional and local governments, planners and development agencies. This is partly because sustainable urbanization is central to the realization of the global development goals as set out in the suite of global agreements signed between 2015 and 2016. These include, most importantly, the 2030 Agenda for Sustainable Development and the New Urban Agenda (NUA). In its draft, strategic plan 2020-2025, UN-Habitat has proposed “enhanced prosperity of regions” as one of its four focus areas, and improved spatial connectivity and productivity as a key outcome.



These Guiding Principles lay the ground for the realization of these objectives.

The urban-rural continuum has great untapped potential to significantly benefit the people who live in these places, and inclusive, planned and responsible actions are needed to deliver these benefits. The Guiding Principles can help shape strategies, policies and plans for sustainable urban and territorial development that include the perspectives and participation of those whose lives are most affected. These principles are made applicable through a companion Framework for Action drawn from concrete policies and practices and which

contains practical suggestions that can be adapted to diverse contexts. Any aspect of sustainable development brings its own challenges, but rural transformation linked with urbanization requires a specific focus. These Guiding Principles bring together the ideas and values that all agents of change should be mindful of when they are engaged in planning for change.

The principles will undoubtedly evolve as they are adapted and interpreted, but it is our hope that they will mainstream and support the urban-rural perspective so that no one in these communities is left behind.



Ms Maimunah Mohd Sharif
Under-Secretary-General United Nations
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Introduction

The Urban-Rural Linkages: Guiding Principles and Framework for Action to Advance Integrated Territorial Development

In both the 2030 Agenda for Sustainable Development (SDGs)¹ and the New Urban Agenda (NUA)², United Nations Member States agreed to policies that support integrated urban and territorial planning and development. They called for new, inclusive approaches and enhanced synergies between urban and rural communities and spaces - an essential component of the vision of Agenda 2030 to “leave no one behind”.

The vision and commitments these and other global framework agreements³ espouse recognize and respond to rapidly evolving urban-rural systems in which households, communities and local and national governments face new and often critical challenges. Governments at all levels, along with United Nations agencies and other important agents of change, **must move from a growing recognition of these challenges to coordinated actions to strengthen urban-rural linkages and implement integrated territorial development**⁴.

There are many examples of public policies that support coordinated action to strengthen urban-rural linkages (URLs)⁵ and these Guiding Principles aim to promote coherence, exchange and impact.

Why are urban-rural linkages so important? In many settlements, a large number of households live, work in and depend on both rural and urban ecosystems that sustain human life beyond political and administrative spheres. The **reciprocal and repetitive flow of people, goods and financial and environmental services (defining urban-rural linkages) between specific rural, peri-urban and urban locations are interdependent**; they are the reality of socio-spatial arrangements, creating places with distinct yet interwoven, socially constructed identities.

From this emerges the possibility of people- and place-based development along the urban-rural continuum, i.e. the promotion of urban-rural linkages through “functional territories”⁴ that help to reduce regional inequalities and increase resource efficiencies. Formulating and implementing policies, and planning interventions that reduce territorial inequality and strengthen urban-rural territories (including in smaller and island countries) could generate better and more sustainable development results that will meet many of the goals and targets in the SDGs, the NUA and other, parallel international agendas.

The adoption of a global goal for sustainable urbanization as one of the Sustainable Development Goals (SDG 11) brought further attention to the topic of urban-rural linkages in SDG target 11a. **The benefits of investing in connective infrastructure and services, while building capacity for inclusive and functional territories linking urban and rural communities, are immense in all three areas of sustainable development: economic, social and environmental.**

The emergence of territorial approaches to sustainable development that includes small and intermediate cities, towns, villages and surrounding rural areas is critical in managing a comprehensive, interlinked and truly participatory approach to sustainable development. Urbanization and rural transformation⁶ can no longer be addressed separately and the processes must be mutually reinforcing.

The goal of these Guiding Principles is to inform pragmatic strategies and propose a Framework for Action to build an enabling environment for more inclusive and functional urban-rural linkages. The principles are flexible and can be applied by all levels of stakeholders at all scales. While the principles are designed for universal application, there are distinct roles and actions appropriate for national or local

governments, civil society, the private sector and international organizations. In addition, they can be applied in varying national contexts; for example, where there is a concern about the rate of urbanization and rural transformation, or the degree of diversity in the population. The Guiding Principles are to help address the complexity of aligning different levels of governance (national, territorial and local) while recognizing unique local contexts and multiple possibilities for implementation. Urban-rural linkages that advance integrated territorial development are not only about a collection of separate subnational regions, but are also about systems of cities at national and even across national to regional levels.

As the Guiding Principles are adapted to and interpreted for particular needs and challenges, they will undoubtedly evolve as the body of practice on integrated and sustainable territorial planning and development accumulates and is evaluated. The Guiding Principles will contribute to the mainstreaming and supporting of urban-rural perspectives into other frameworks adopted by the United Nations Member States – for example the International Guidelines on Urban and Territorial Planning (IG-UTP)⁷. **The Guiding Principles also provide a reference for revising national and subnational rural, urban and territorial policy frameworks.**

Our vision for what lies ahead:

The application of these Guiding Principles and the accompanying Framework for Action will contribute to the creation of fair and sustainable livelihoods across the urban-rural continuum by strengthening the roles of local governments and other institutional partners. It will promote the recognition of the interdependence between urban and rural environments and recognize the importance of protecting ecosystems. Marginalized groups such as women, smallholders and Indigenous Peoples often have an important role as stewards of ecosystems and agents of change. Cooperation between actors must help to leverage this role by supporting employment and sustainable economic development in the context of ecosystem functions, and enabling health and wellbeing for households in interdependent urban, peri-urban and rural areas.

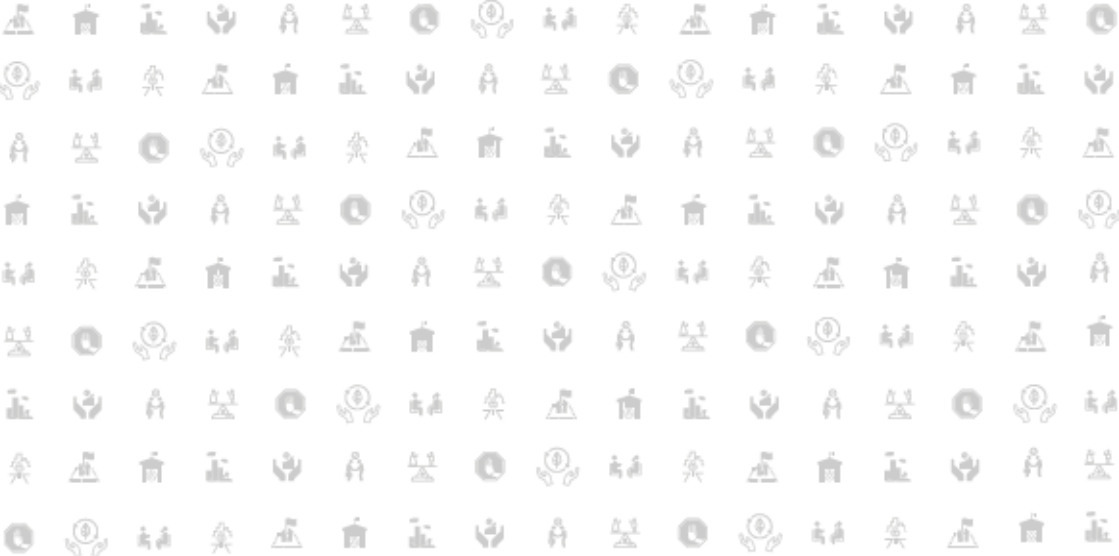
Application, testing and validation of Guiding Principles for Urban-Rural Linkages:

A. Global normative and thematic processes: The Guiding Principles and Framework for Action were developed with the support of institutions (local, national and international) who are actively engaged in the implementation of the 2030 Agenda, the New Urban Agenda and other global agendas. These principles may be adopted, endorsed or otherwise validated in these processes.

B. National and subnational processes: The Guiding Principles and Framework for Action need to be or continue to be mainstreamed in international and national and subnational policies, some of which are related to global processes, and others that originate at national or subnational levels. Examples of these are the mainstreaming of urban-rural linkages in national urban policies (NUP)⁸, rural development policy, urban and territorial planning, food security and nutrition plans, social protection and public infrastructure plans, among others. Along with the principles and Framework for Action, additional tools for monitoring and evaluating progress, mapping stakeholders and identifying data needs and policy options will be made available.







PART 1

Guiding Principles for Urban-Rural Linkages



PART 1. Guiding Principles



1
LOCALLY GROUNDED
INTERVENTIONS



2
INTEGRATED GOVERNANCE



3
FUNCTIONAL AND SPATIAL
SYSTEMS-BASED APPROACHES



4
FINANCIALLY INCLUSIVE



5
BALANCED PARTNERSHIP





6
HUMAN RIGHTS-BASED



7
DO NOT HARM AND PROVIDE
SOCIAL PROTECTION



8
ENVIRONMENTALLY SENSITIVE



9
PARTICIPATORY
ENGAGEMENT



10
DATA DRIVEN
AND EVIDENCE-BASED





1

LOCALLY GROUNDED INTERVENTIONS

Local context matters a lot in making urban-rural linkages work and should inform and guide the translation of global agendas such as the 2030 Agenda for Sustainable Development (including the SDGs), the New Urban Agenda (NUA) and others. National and subnational commitments should have policy coherence and integrated actions across the territory. Such translation should mainstream urban-rural linkages and integrated territorial development; it should help local authorities and subnational actors to take the lead in overcoming social, economic and environmental inequalities while also leveraging the comparative advantages of the flows of people, goods and services across the urban-rural continuum.



2

INTEGRATED GOVERNANCE

Strengthen governance mechanisms by incorporating urban-rural linkages into multi-sectoral, multi-level and multi-stakeholder governance. To deliver the SDGs and to address the humanitarian-development-peace nexus, for example, requires policies, strategies and action plans that are:

- a. *horizontally* integrated across spatial scales in metropolitan regions, adjacent cities and towns, including rural hinterlands;
- b. *Sectorally* integrated with the public and private sectors, civil society organisations, research and professional institutions, formal and informal civic associations; and
- c. *Vertically* integrated across different levels of engagement and official decision making. Enhance and institutionalize synergies from the integration of urban and rural actors and actions across horizontal, sectoral and vertical dimensions.





3

FUNCTIONAL AND SPATIAL SYSTEMS-BASED APPROACHES

Use system-based approaches to promote integrative and inclusive urban, territorial and rural policy and planning to support the analysis of the flow of resources such as people, water, biodiversity and food. Consider the different scales of urban and rural settlements in systems of cities and towns of different sizes. Consider the existing functional territorial and ecosystem-based interlinkages between urban and rural settlements and land-use (including remote hinterlands and outer islands) and use them to have greater impact and equity.



4

FINANCIALLY INCLUSIVE

Secure and prioritize sustainable public and private investment to balance and strengthen urban-rural linkages. Where possible, adjust funding to meet objectives for integrated rural and urban economic, social and environmental development. Investment must not be limited to larger or capital cities, but should also include smaller settlements, including villages, towns, intermediate cities and peri-urban areas. Pay close attention as well to the diverse formal and informal economic actors needing financial support, including smallholder associations and new entrepreneurs. Promote fiscal strategies to address unequal access to public services and infrastructure investment.





5

BALANCED PARTNERSHIP

Foster partnerships, alliances and networks that link urban and rural actors and different sectors. Develop and harness capacities and skills across a wide range of stakeholders such as civil society, the private sector and academic institutions through inclusive and participatory processes, especially within the most marginalized groups and communities. Inclusive partnerships are likely to require flexibility and adjustments based on new knowledge, and generate new avenues for addressing economic, social and environmental change.



6

HUMAN RIGHTS-BASED

Embed human rights-based approaches in all policy instruments and actions to ensure that development initiatives and processes do not negatively affect anyone's human rights across the urban-rural continuum. Interventions should respect, promote and fulfil human rights, such as the right to employment, the right to education, the right to health, the right to adequate and affordable housing, and the right to food. Protecting an area's natural biological diversity should complement upholding human rights in that area.





7

DO NO HARM AND PROVIDE SOCIAL PROTECTION

Strengthen urban-rural linkages to overcome conflict, recognize cultural diversity and reduce inequalities. This can be done through the promotion of wellbeing, health, food security and nutrition, and the protection of water, energy, mobility and shelter, biodiversity and land tenure in initiatives, policies, programmes and service provision. Strike a balance in measures and social protection programmes affecting men and women, and different age and socio-economic groups across the urban-rural continuum.



8

ENVIRONMENTALLY SENSITIVE

With the key principles of Rio and Rio+20 in mind⁹, the resources needed by the current population must be addressed without compromising the ability of future generations to meet future needs. Other principles that will strengthen integrated territorial development and investments along the urban-rural continuum should also prioritize protecting, sustaining and expanding areas that are important to biodiversity and ecosystem services. This will ensure an integrated urban-rural transition to resilient, resource efficient, low-carbon and circular economies.



9

PARTICIPATORY ENGAGEMENT

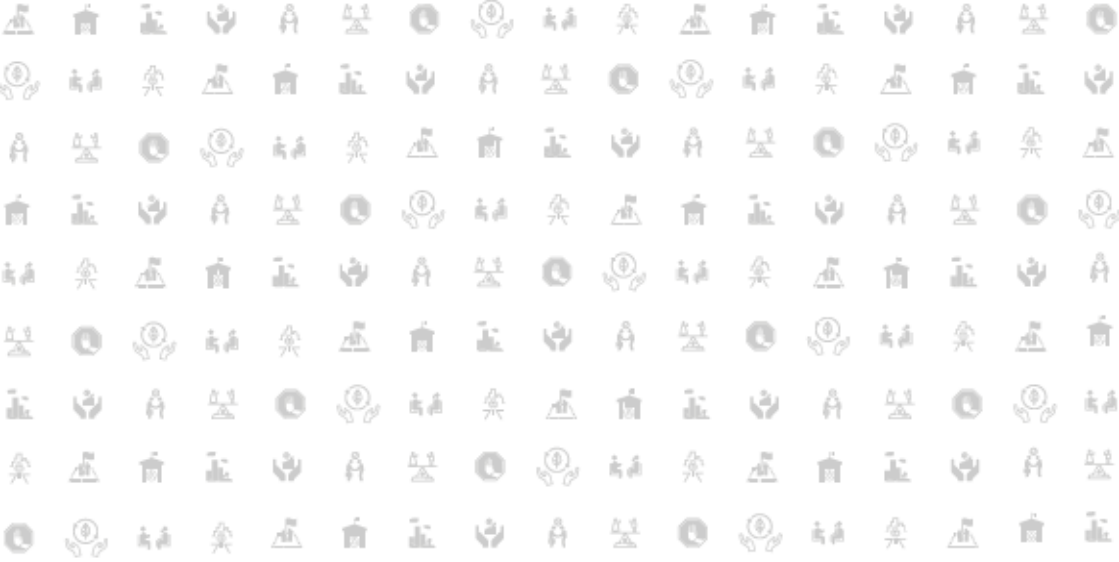
Ensure meaningful participation by people, local institutions and communities across the urban-rural continuum. Create spaces and mechanisms as needed to engage in political dialogue and planning processes for women, Indigenous Peoples, children, youth, elders, persons with disabilities, slum dwellers, smallholders and the forcibly displaced and others at risk of being left behind. Build capacity to empower vulnerable groups¹⁰ and for the active engagement of urban, peri-urban and rural communities in integrated territorial governance. Protect and respect local and indigenous cultures. Recognize that the relation of culture to migration, mobility and displacement is critical for social protection and resilience, and is a key factor in the design of appropriate strategies and interventions.

10

DATA DRIVEN AND EVIDENCE-BASED

Establish or improve knowledge systems and fill data gaps so that there is evidence to support planning methods that will reinforce the urban-rural continuum and improve territorial cohesion. Improve and collect, where needed, disaggregated territorial data, including for age, gender and socio-economic status. Collect urban, peri-urban and rural disaggregated data and indicators on both national and subnational levels (addressing appropriate scale and including quantifiable and qualitative data). Incorporate non-state and grassroots knowledge. Facilitate knowledge sharing, monitor performance and evaluation, and make information accessible, transparent, interactive and available for all.





PART 2

Framework for Action for Urban-Rural Linkages



PART 2. Framework for Action

The Guiding Principles for Urban-Rural Linkages apply to all sections of the Framework for Action and are also relevant for governments of all levels and other stakeholders. Sections of the framework identify sample strategies and policies, as well as planning and institutional actions to **create an enabling environment** in selected **sectoral and thematic entry points** for economic, social and environmental applications of the Guiding Principles. The framework is designed to support and provide guidance to all actors. Using a systems approach, the proposed fields of action are often related to each other and are informed by experiences at national and local levels.

There are roles for all stakeholders with some actions applying to several actors, while others apply to more specific ones. The actions in the framework outlined below link urban, peri-urban and rural actors both spatially and functionally. They also link different government levels, sectoral policies and programmes. By working together to reach shared perspectives on integrated territorial development, it is possible to enhance synergies and flows of people, products, services and information.

The overall goal is to foster inclusive economic, social and environmental sustainability across the urban-rural continuum.



Creating an enabling environment for strengthened urban-rural linkages:

- A** Governance, legislation and capacity development
- B** Integrated planning across the urban-rural continuum
- C** Investment and finance for inclusive urban-rural development
- D** Empower people and communities
- E** Knowledge and data management for dynamic spatial flows of people, products, services, resources and information

Sectorial and thematic entry points to promote Integrated territorial development:

- F** Territorial economic development and employment
- G** Coherent approaches to social service provision
- H** Infrastructure, technology and communication systems
- I** Integrated approaches for food security, nutrition, and public health
- J** Environmental impact and natural resource and land management
- K** Conflict and disaster





2
INTEGRATED
GOVERNANCE



5
BALANCED
PARTNERSHIP



9
PARTICIPATORY
ENGAGEMENT

A

Governance, legislation and capacity development

- 1. Establish “whole-of-government” approaches¹².** Multi-level governance, multi-sectoral and multi-actor mechanisms should be responsive and foster conditions by which local governments can realize integrated territorial development and management of critical resources within a national framework. Governance arrangements could be promoted, for example, through inter-municipal cooperation and associative governance mechanisms at the subnational level, leading in some cases to new, integrated agencies or associations (e.g. starting with waste, water, public transport or land management).
- 2. Convene governance mechanisms to review institutional mandates and policies** (e.g. rural dimensions in urban policies and urban dimensions in rural policies), including coherence and harmonization between national, regional and local norms and decisions. Propose executive and/or legislative initiatives, regulations, procedures and interventions at a territorial level. Such interventions may include looking again at governance structures that have previously led to unproductive administrative separation and/or ensuring there are not similar but unconnected structures in both urban and territorial authorities.
- 3. Develop a framework for inclusion of urban and rural at-risk populations.** Include vulnerable and marginalized people in the planning, decision-making and design of governance platforms and programmes to promote holistic understanding of issues. Increase accountability through monitoring and evaluating processes to ensure the inclusion of urban and rural communities, for example, developing tools for impact assessment of policies, strategies, programmes and initiatives to strengthen territorial integration.



- 4. Establish mechanisms and participatory approaches for reconciling differences** and achieving sustainable agreements between public and private interests. Ensure that the rights of all stakeholders are respected in ongoing land-use or service-related conflicts, for example when urban expansion for new housing threatens agricultural, environmental or traditional community interests.
- 5. Establish ongoing knowledge exchange**, platforms, dialogue and capacity development to strengthen urban-rural linkages that drive sustainable and inclusive growth (honouring the territory's carrying capacity). Support ongoing dialogue between stakeholders through dedicated and innovative training curricula for regional planners and cross-sector collaboration with academia, non-governmental partners and those most likely to be left behind.
- 6. Develop and implement strategies to raise awareness** of the dimensions, benefits and dynamics of urban-rural linkages. This can be done through existing and new networks and territorial associations of professional planners and planning departments. Functional planning units from urban and territorial jurisdictions that need training and support can build capacity through association. National-level sectoral planners can help to stimulate greater knowledge exchange and capacity development at local planning levels.





Integrated planning across the urban-rural continuum

- 1. Institute mechanisms for localization of national planning via strengthened local planning institutions.** Develop instruments that advance cross-sectoral planning at national and subnational levels in a multi-stakeholder setting, addressing the important role for local governments in land- and water-use planning and management. National urban policies that address economic and social development in rural areas that are also environmentally responsible can be a vehicle for the delegation of planning powers, as encouraged in the New Urban Agenda.
- 2. Adapt and apply multi-level, multi-sector and multi-stakeholder approaches to integrated planning** as appropriate for different actors, as proposed in the International Guidelines for Urban and Territorial Planning (IG-UTP). This links national planning for sustainable urban development to integrated territorial development. It also emphasizes the participation of civil society and specific attention should be given to marginalized groups in both local and national planning and management.
- 3. Formalize networks of jurisdictions and systems of cities and towns at territorial and regional levels.** The aim is to jointly define a vision and develop action plans for sustainable economic, social and environmental development that integrates sectoral requirements at regional levels. Networks will also build capacity and identify synergies that are in line with the potential and the constraints of the urban, rural and territorial ecosystem.



NUA



IG-UTP



- 4. Institute mechanisms to bring together government planning authorities.** Special attention should be given to the financial, cultural and institutional dimensions and needs of rural settlements, small towns and intermediate cities. Strengthen their capacities to engage in integrated territorial development, for example through territorial associations between small towns and cities.
- 5. Make and implement integrated planning goals to reduce urban-rural economic, social and environmental gaps.** This could include reviewing, adapting and using locally relevant legal and legislative instruments and methods to develop people and place-based development plans, including the integration of environmental protection, climate resilience, land use, infrastructure and transport.
- 6. Develop criteria and approaches for land-use planning, management and regulation.** These are often the tools available for local governments to address urbanization and rural transformation. Approaches can be designed to be sensitive to culture, environment and health in planning and provide strategic pathways. Examples include quality public space and gender-responsive planning, innovations such as zoning for green and blue biodiversity corridors, cultural preservation and healthy food zones that build links with local smallholder producers, etc.





Investment and finance for inclusive urban-rural development

- 1. Adapt and align public budgets at national and local levels to integrate territorial policies.** For sectoral budgets, engage new or adapted mechanisms to invest in actions that promote urban-rural linkages that understand the needs and challenges of specific territories.
- 2. Institute measures and practices to improve public and private finance instruments** to address credit and remove finance barriers. Include measures to preserve and create jobs across the urban-rural continuum. At the public finance level, include budgeting at a national level to support coordinated strategies and action plans such as municipal finance and rural development assistance, tax policy and transfers of funds to local governments. Develop frameworks to foster local fiscal systems. Have innovative financial mechanisms¹³ to, for example, reduce credit gaps and ensure equitable tax distribution.
- 3. Encourage (and, where needed, legislate) private banks and intermediaries together with public finance agencies and instruments¹⁴ to promote responsible, ethical and sustainable investment practices by subnational and local financial institutions.** Fund projects and partnerships that create linkages and synergies between urban and rural development. Subnational associations of governments could be particularly encouraged. Support relevant actors (including small towns and intermediate cities) through increased access to banking activities and credit offered by financial intermediaries, donor governments and organizations.



4. Adapt financing mechanisms for payment for environmental services¹⁵ (PES), whether at subnational or national levels. Ensure accessibility to primary actors who steward ecosystem functions such as waste disposal/reuse, sewage treatment, watershed, agriculture and forest management, etc., and promote these where they do not exist.



5. Create incentives for those in the finance and investment community, with support from national policy and development banks, to work together to meet financial needs of, for example, smallholder producers, micro, small- and medium-size enterprises. Promising examples are emerging in social or impact financing, circular and solidarity economy initiatives. Local and regional governments can pool resources and leverage specific public and private, commercial and not-for-profit actors and initiatives.



6. Simplify procedures to encourage private actors and public institutions to improve access to (micro) credit for small-scale entrepreneurs and smallholder farmers, particularly women who may have fewer assets and informal land ownership. Youth and start-up entrepreneurs are important connectors between rural producers and with new markets for healthy food as well as for import/export. Financing for acceleration and growing of new business and employment opportunities across the urban-rural continuum is vital.





D

Empower people and communities

- 1. Identify and support various types of inclusive partnerships** and enhance synergies at all levels in both urban and rural spaces. Develop solutions for funding to provide infrastructure and services in under-served communities. Build on local contexts and past accomplishments. Foster inclusive formal and informal processes that reduce inequalities, empower community-based organizations, and support citizen groups to map and build on their relative strengths, assets and capacities.
- 2. Commit to equitable and balanced inclusion of rural and urban actors** in both informal and formal sectors to foster equitable participation in design, implementation, and the monitoring of partnerships and sharing of benefits. The informal sector is often the main domain for micro-, small- and medium-scale place-based enterprises, and is critical for women, Indigenous Peoples, smallholder farmers and others.
- 3. Adopt participatory methodologies** such as partnership guides, participatory budgeting and assessment tools, to stimulate equity and shared knowledge management across institutions and power hubs. Examples are food policy councils and multi-sector associations between government, citizen groups and business communities.
- 4. Establish a framework for enhancing cooperation** among communities and other actors in urban and rural areas that facilitates the flow of investments, knowledge and skills necessary for addressing spatial, economic and social disparity between urban and rural peoples and territories.



5. Establish local governments and institutions inclusive of working groups, thematic clusters, or partnerships of actors

with representatives from the private sector (where appropriate and preventing or addressing conflicts of interest) and civil society groups in both rural and urban areas, and between larger and smaller cities and towns and rural authorities (including regional cross-border or trans-jurisdiction boundaries).



6. Design and convene both formal and informal partnerships

across different economic, social, cultural and environmental dimensions that also address inequalities and power imbalances between urban and rural actors with a territorial approach, drawing on relevant guidelines for effective partnerships¹⁶ for urban-rural linkages.





10
DATA DRIVEN
AND EVIDENCE-
BASED



3
FUNCTIONAL AND
SPATIAL SYSTEMS-
BASED APPROACHES

E

Knowledge and data management for dynamic spatial flows of people, products, services, resources and information

- 1. Develop participatory models and methods that map and describe complex urban systems and their relationships with surrounding rural areas** at a territorial level, for example building upon the “urban metabolism approach”¹⁷, to address the transformative commitments of the New Urban Agenda. Based on the integration of social, economic and environmental development, these assessments must take into account rural under-development and be able to quantify the impact of actions at household levels and by age and gender. The descriptions of these urban-rural territories must be based on solid evidence and informed by disaggregated data.
- 2. Develop national and local governments’ capacity to use, collect and process spatially disaggregated data** and information in transparent collaboration with private, non-governmental and academic actors as well as local land-user groups, such as Indigenous Peoples’ groups and informal housing associations.
- 3. Generate new data to close information gaps.** Include observatories and GIS-based monitoring systems, data on land tenure and property transactions, local mapping of existing and traditional land tenure systems, origin-destination surveys and GPS data to assess the flows and barriers to movements such as people, goods, services, resources and information between urban and rural areas. Make this information accessible and available to local governments, academic and civil society actors as a basis for identifying appropriate, integrated urban-rural mobility services that support unimpeded flows, sustainable livelihoods and local development.

NUA



GIS



- 4. Collect and make available the data and knowledge on peoples' mobility** (including women, youth and people living with disabilities) across the urban-rural continuum (including international migration flows). This should especially focus on mobility in relation to the growth and transformative potential of small and intermediate towns and cities, including both daily and seasonal commuting as well as longer-term movement. Analysis focusing on jobs, health, food security and nutrition, and strategic environmental assessments of resource use and distribution can guide planning on different scales for dynamic mobility-based services such as training, finance and information for rural and urban multi-spatial households.





F

Territorial economic development and employment

1. Use participatory dialogue to identify and map potential conflicts and culturally appropriate solutions

(including innovative models, new information technology and methods) to coordinate development. This will enhance synergies and positive benefits from reciprocal flows of people, products, services, resources and information. Inter-municipal cooperation, for example between civil society and the private sector, can improve service delivery and enhance the accountability of those managing infrastructure services. General labour conditions may improve with stronger urban-rural linkages, but appropriate guidelines, regulations and social protection programmes will be needed to promote decent work, advance gender equality and avoid exploitation.



2. Harness the potential of small and medium-size towns and outlying islands

(such as small rural clusters/market places which are often the nuclei of urban agglomeration) to provide a meeting point between urban and rural businesses. This could be through establishing hubs for employment, businesses and training, especially for women and youth, for example through incubators linking brokers, producers and business accelerators for innovative ICT platforms.



3. Tailor interventions in planning and governance of territorial markets to benefit micro-, small- and medium-scale enterprises (MSMEs)

, going beyond food market/supply chain efficiency. The food systems between producer and consumers in an integrated urban-rural context include formal and informal wholesale market channels, transport, storage and processing of food, and they employ large numbers of people. These post-farm systems are found in small towns, intermediate cities



(serving the rural spaces between them) and larger cities. Institutional and infrastructure solutions to create links between local producers, consumers and service providers along agri-food value chains have potentially high returns; these could promote local investment and multiplier benefits across rural and urban areas.

- 4. Build stronger urban-rural linkages through coordination at inter-municipal and intra-regional levels.** This is to promote the creation of more and better farm- and non-farm jobs. It is also to leverage specific public and private, commercial, not-for-profit actors and community-based initiatives through coordinated, place-based development programmes. The informal sector should be a central element in the territorial development agenda which should focus on the role of urban and rural-based women in both farm and non-farm livelihoods.



- 5. Create capacity building and educational opportunities to help balance investment and finance opportunities** for urban and rural actors, and provide incentives for joint activities. Learn from innovations in participatory credit and finance schemes to enable access to financial services for all, particularly groups facing difficulties accessing finance for things such as small- and medium-scale local enterprises. Build capacity and support financial institutions to provide tailored services for these groups, including women, youth, Indigenous Peoples, smallholder farmers, MSMEs, etc.





G

Coherent approaches to social service provision

- 1. Identify needs, opportunities and gaps where strengthened urban-rural linkages can deliver more spatially and socially equitable services** and reduce the barriers to quality public social services for all socio-economic groups. Support and strengthen place-based, multi-sectoral engagement to improve the efficiency and delivery of multiple services.
- 2. Explore new models of delivery and incentives for the responsible social provision of healthy food, housing, health services and education** (for social and private sectoral providers). Ensure these models are place-based and related to specific needs, for example rural children commuting to schools in urban or peri-urban areas.
- 3. Ensure that public service delivery reaches all.** Private-public and community partnerships could be piloted to improve delivery and make better use of resources shared between municipalities. The partnerships could promote service delivery in urban-rural buffer zones and rural areas (including remote rural areas). Services that have been developed for urban populations and areas may not meet the particular needs (health, education, water and sanitation, etc.) of those in rural areas with lower population densities. These partnerships must be independently monitored and evaluated with community participation.
- 4. Develop health and sanitation plans that coordinate mandates and actions** at all levels of government and that consider the ecosystem services and connections between peri-urban and urban green areas and public spaces for human well-being; examples are mental and respiratory health aspects, and reducing the risk of non-communicable diseases.



5. **Support urban and rural communities to develop and plan for a healthy and safe living environment.** Support their contribution to getting universal health coverage. Reduce spatial and social inequities in quality health services in order to ensure that both urban and rural populations are healthy and economically productive.
6. **Mainstream health and wellbeing throughout all public service planning,** ensuring that all initiatives, policies and programmes for integrated territorial planning evaluate potential positive and negative impacts on health, and result in spaces for the safe physical activity of women, youth and children in both urban and rural areas.





H

Infrastructure, technology and communication systems

- 1. Build sustainable and resilient urban-rural transport systems**, infrastructure and services by prioritizing aspects such as multimodality¹⁸, green freight and accessible public transport. Conduct integrated urban-rural infrastructure and services analysis to identify respective population needs and challenges. The analysis will help to anticipate planning tensions and compromises depending on the carrying capacity of the territory and the sustainable management of local natural resources and biodiversity.
- 2. Use participatory analysis to bridge sectors and include the most mobility challenged populations.** Such an analysis should help build sustainable and more resilient transport systems and infrastructure to improve the well-being of people and enable the mobility of goods and services. This would particularly benefit micro-, small- and medium-scale enterprises (MSMEs).
- 3. Leverage on the technology and innovations to create equal opportunity and promote smart cities, villages¹⁹ and solutions** for greater connectivity and integration between urban and rural areas. This should assist smallholder farmers, for example, to get new ideas and inputs information, links with markets for produce, and facilitates access to processing industries and export opportunities, among others. This should ease the flow of any other information that enables the functionality of flows between the urban and rural areas.



- 4. Build on shared and disaggregated data on dynamic spatial flows to jointly plan, finance and construct infrastructure** for water and sanitation, roads and transport, electrification and communications in urban-rural territories. Since a sole focus on infrastructure for new development usually pushes up the value of land and results in land sales and forced eviction, mitigation and counter-incentives need to be explored. These protective measures may include the transfer of development rights and measures to recognize and protect the rights of vulnerable groups, noting that the land claims of many of these groups may be customary.



- 5. Implement integrated territorial human mobility and product distribution systems to become more inclusive and integrated.** They should have fit-for-purpose governance structures, mobile communication and ICT networks and platforms to accelerate economic development. The creation of metropolitan transport authorities and alliances between private, public and community-based operators, for example, can be a foundation for integrated transport systems.





6
HUMAN
RIGHTS-BASED



7
DO NOT HARM
AND PROVIDE
SOCIAL
PROTECTION



8
ENVIRONMENTALLY
SENSITIVE

Integrated approaches for food security, nutrition, and public health

- 1. Use the agriculture and food, water, energy and health security systems and their underlying ecosystem functions as unifying frameworks to strengthen urban and rural synergies.**

This could be done through social and market relationships between food producers at all scales, intermediaries such as food supply chain actors and all food consumers. Support local farm and non-farm enterprises and leverage local food production and diets to promote food security and nutrition. Integrate issues of health, migration, food imports, climate change and conflict with job creation and funding for ecosystem services. This could promote and protect natural resource and biodiversity conservation, reduce waste, increase food security, improve nutrition and address gender equality, etc.



- 2. Mainstream health and wellbeing, including food security and nutrition issues, throughout all public service planning.**

It needs to be ensured that all initiatives, policies and programmes for integrated territorial planning evaluate potential positive and negative impacts on health. Give special attention to the most vulnerable groups in cities, and in particular slum dwellers, for whom food and nutrition security, access to health services and sanitation are a challenge. Recognize that incorporating effective actions to create jobs and improve working conditions in rural areas contributes to the livelihoods of the stewards and protectors of ecosystems. This then contributes to the food security and nutrition of rural and urban populations.



- 3. Assess the quality and performance of territorial food system approaches²⁰ for linking food security and healthy diets to land, water, waste, health etc.**



social protection systems for the poor that also support on smallholder farmers, local food chain actors and consumers in territorial markets. These systems improve the nutritional quality, affordability, availability, diversity, safety and sustainability of food supply and consumption.



4. Adapt frameworks for action, such as those developed by city networks, national governments, United Nations agencies and other partners, to learn from and apply innovations to strengthen urban and territorial food systems (e.g. the Milan Urban Food Policy Pact). Policies and practices should ensure that food systems provide nutritious and safe foods, and address the importance of secure tenure of land and access to water for rural and urban smallholders. Provide extension and advisory services and investments to smallholders to sustainably, profitably and locally produce and market nutritious and safe foods.



5. Use institutional food service (schools, hospitals, etc.) as a lever to increase access to sustainable, healthy diets while providing markets for smallholder producers. Re-shape public food service and procurement regulations to respond to sustainable goals. This would enable the provision of nutritious and safe foods from regional seasonal produce, increase the visibility and awareness of rural livelihoods in urban areas, acknowledge indigenous knowledge and experience, preserve regional environments and farmlands, and enhance livelihoods and local economies in disadvantaged rural areas.



6. Institute policy interventions that effectively tackle all forms of malnutrition (i.e. the presence of undernutrition, deficiencies in vitamins and/ or minerals, and the presence of overweight or obesity). Of the top 15 disease risks in 2017, four are dietary (alcohol use, low wholegrains, high sodium, and low fruit). Another seven are nutritional or health indicators which are highly responsive to diet. Investing in measures to address malnutrition can significantly impact health, reduce healthcare costs and is linked to better productivity. Focus attention on making nutritious and safe foods more affordable, available and desirable by collaborating with food systems partners for solutions at levels of the food supply, the food environment and the



consumer. Start with the promotion of local diets and local production of diverse and nutritious food as a cost-effective strategy to reduce non-communicable diseases. This will also generate employment and income for low-income groups (e.g. Indigenous Peoples, youth, women, migrants etc.).

- 7. Apply systems approaches to understand how complex urban-rural linkages modify health risks** (including infectious and non-communicable disease, food safety, food nutrition insecurity and malnutrition) and/or lead to cross-sectoral impacts on health. Identify leverage points for actions and analysis based on participatory engagement.





2
INTEGRATED
GOVERNANCE



4
FINANCIALLY
INCLUSIVE



8
ENVIRONMENTALLY
SENSITIVE



Environmental impact and natural resource and land management

- 1. Conduct participatory, multi-stakeholder assessments and establish monitoring systems** to identify the environmental and health impacts of urbanization and/or migration across the urban-rural continuum. This should involve different levels of government. The goal of an assessment should be to reduce risks and unequal burdens and to promote ecosystem-based approaches to planning and management for sustainable development. Finance mechanisms and incentives for fair compensation for ecosystem services between rural and urban areas must consider that the world's most fertile and productive lands are often found in the path of rapid urbanization.
- 2. Ensure adherence to existing rules, regulations and guidelines on land tenure security**, for example through the Voluntary Guidelines for Responsible Governance of Tenure of Land, Fisheries and Forests (VGGT) and Responsible Agricultural Investment (RAI), in the context of urban-rural linkages. Land and water are central to all development and are the cause of conflicts between urban and rural area actors, as well as at supranational scales. Greater transparency and attention to equity in secure access and tenure of land should be the focus of governance systems related to integrated territorial development, including customary and traditional land and water rights and tenure systems.
- 3. Incorporate integrated landscape management into territorial development plans** and support primary producers and smallholders as the stewards of ecosystem services to protect natural resources and biodiversity (including agricultural biodiversity). Enable strategies for



flood control and buffering from microclimate shocks. This could be through the recognition of and fair compensation for the provision of clean water and air, the recycling of nutrients and the reduction of waste.

4. **Develop and implement policies and programmes for conservation and sustainable use of natural resources**, including integrated wetlands, forests, mountains and water basins, as well as reciprocal water agreements and other tools, for their water security and filtration services.



5. **Use systems approaches and circular economy²¹ frameworks** to link and prioritize interventions that integrate resilience to climate change, promote biodiversity, protect ecosystem functions and natural resources, and allow for a successful transition to sustainable consumption and production. Examples of urban-rural synergy in the circular economy are recycling, reuse and remediation at the landscape level (including soil, water, plant and animal habitat) or waste and energy reuse across the urban-rural continuum. Integration of natural and built environments through nature-based solutions, such as ecosystem-based adaptation to climate change, will foster sustainability, liveability, productivity and resilience.



6. **Establish service and product procurement systems that encourage and/or require sustainable use and management of natural resources** for multiple economic and ecosystem benefits. This should include fulfilling the demands from towns and cities that can be met by peri-urban and rural producers. Natural, resource-based production systems and their linkages to services and manufacturing are both casualties and causes of climate change. Policy interventions that encourage varied diets and emphasize plant-based sources of protein (especially legumes), for example, will be not only be better for human nutrition but will also reduce the environmental costs of production (e.g. GHG emissions, groundwater pollution and land use).



7. **Ensure transparent and comprehensive decision-making processes** for investments that have a direct or indirect environmental, health and social impact, in particular on climate change and disaster mitigation.





2
INTEGRATED
GOVERNANCE



6
HUMAN
RIGHTS-BASED



8
ENVIRONMENTALLY
SENSITIVE

K

The urban-rural continuum in the face of conflict and disaster

- 1. Conduct risk assessments of displacement, conflict, natural disasters, economic shocks, environmental disasters and communicable disease outbreaks**, which can have an immediate impact on specific territories and their urban and rural populations (particularly those related to climate change).
- 2. Invest in the protection of ecosystem functions and services from peri-urban and rural areas near cities** to improve resilience and to provide basic services in disaster preparedness and restoration. These areas are often on the front lines of disaster and conflict. Institute pre-disaster and post-disaster/conflict mitigation efforts to improve resilience of transport, energy, information, health, education, food and water systems.
- 3. Put in place an emergency preparedness system to strengthen resilience to shocks and crises**, to ensure access to services. These should include food and nutrition, health, water, sanitation and hygiene (WASH), education and energy. Develop multi-sectoral early warning systems that benefit both urban and rural populations within specific territories.
- 4. Design and execute humanitarian and culturally appropriate assistance programmes, policies and projects to contribute to more effective urban-rural linkages**. Enable communities, especially women's groups, to be cooperative agents of recovery and rehabilitation and better equipped to face protracted crises.



5. Develop collaborative urban-rural strategies to mitigate or respond to crises.

This can include tools such as risk pooling and transfer instruments, leveraged cash transfers for refugees and host communities in conflict situations, food security and nutrition assessment and monitoring tools, as well as gender-focused transformative interventions, among others. For example, promoting local diets and providing jobs and income to small-scale producers helps prevent environmental and social determinants of disasters and conflicts.



6. Develop and implement tailored interventions that foster collaboration between local governments, national governments and international organizations/donors.

This will enable mutually beneficial and equitable urban-rural linkages in the context of fragile situations and protracted crises. Such interventions should be based on the principles for humanitarian action and the Committee on World Food Security (CFS) Framework for Action for food security and nutrition in protracted crises. Long-term resilience building should be linked to humanitarian responses and be recognized as critical for avoiding moving from crisis to crisis. Enhanced equality, resilience and opportunities for all across the rural-urban continuum in many cases reduces the risk and impact of conflict or disasters.





PART 3

Annexes



PART 3. Annexes

Annex 1. Glossary

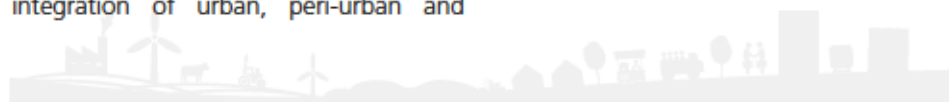
The Guiding Principles and Framework for Action are drawn from multiple sources including case studies and experiences around the world, policy decisions and reports from UN agencies, government and academic research, multi-stakeholder expert meetings, regional consultations, as well as inputs from city networks, academic and civil society experts. The GP-URL is a *living document* and literature on related topics is growing rapidly. Below are some the key terms found in the Guiding Principles and Framework for Action and related resources for further reading. Additional reference documents may be added to the project website. See <https://urbanrurallinkages.wordpress.com/resources-case-studies-and-readinds/>

1. Sustainable Development Goals (SDGs): Succeeding the Millennium Development Goals (MDGs), the SDGs were launched at the core of the 2030 Agenda for Sustainable Development in 2015. SDG 11 to “make cities and human settlements inclusive, safe, resilient and sustainable” relates to most of the other 16 SDGs and target (SDG 11.a) specifically addresses integration of urban, peri-urban and

rural sustainable development. For more information on the SDGs and the 2030 Sustainable Development Agenda see: <https://sustainabledevelopment.un.org/sdgs>.

2. New Urban Agenda (NUA): A blueprint for sustainable urbanization, the New Urban Agenda was the product of Habitat III, launched in 2016 one year after the launch of the SDGs. The New Urban Agenda addresses and expands on SDG 11 and its targets. Urban-rural linkages is referenced throughout the NUA as an important component of integrated urban and territorial planning and development. For more information on the NUA see: <http://habitat3.org/the-new-urban-agenda/>

3. Other International global frameworks: While the 2030 Agenda for Sustainable Development and the Sustainable Development Goals (SDGs) and the New Urban Agenda have the most relevance for the purposes of the Guiding Principles and Framework for Action, there are other global frameworks agreed to by United Nations Member States that also



either directly or indirectly engage urban-rural linkages or territorial development. Included in these other frameworks are the Addis Ababa Action Agenda of the Third International Conference on Financing for Development (2015), the High-level Advisory Group on Sustainable Transport (2014), the Kyoto Protocol (2005), the Sendai Framework for Disaster Risk Reduction (2015-2030), the Paris Agreement on climate change (2016), the UN Decade of Action on Nutrition 2016-2025, the New York Declaration for Refugees and Migrants (2016), and the United Nations Conventions on Desertification, Biodiversity and Climate Change (1992), among others.

4. Integrated Territorial Development (ITD) is embraced throughout the NUA with the recognition that the processes of urbanization, with supporting policy and land use planning, necessarily include a territorial dimension. A territorial dimension or territorial approach emphasizes the functional and spatial interconnection of urban, peri-urban and rural areas, forming a rural-urban-continuum. A comprehensive analysis and articulation of the concept of functional territories to reduce regional inequalities is found in the RIMISP study *Inclusive Rural-Urban Linkages*: https://www.researchgate.net/publication/270899633_Inclusive_Rural-Urban_Linkages.

Further treatment of the topic can be found in the recent paper *Territorial Perspectives for Development (TP4D)* found at https://collaboratif.cirad.fr/alfresco/s/d/workspace/SpacesStore/.../TP4D_vENG.pdf

5. Urban-Rural Linkages (URLs): The United Nations Human Settlements Program (UN-Habitat) works towards a better urban future but recognized over 40 years ago that urban and rural are interdependent and underscored the importance of urban-rural linkages. Other United Nations agencies and development partners that work towards a better rural future such as the Rome based food agencies (RBAs) often address these linkages as rural-urban. Other terms in use include urban-rural continuum, rural-urban synergies, integrated territorial development (ITD), functional territories or regional development that combine urban, peri-urban and rural planning and development. Urban-rural linkages is the more common usage and is the term used in the Guiding Principles and Framework for Action. The most recent report on UN-Habitat's approach to *Implementing the New Urban Agenda by Strengthening Urban-Rural Linkages* can be downloaded here: https://urbanrurallinkages.files.wordpress.com/2018/01/urban-rural-linkages-for-implementing-the-new-urban-agenda_08112017_spreads.pdf

6. Inclusive Rural transformation is a process in which rising agricultural productivity, increasing marketable surpluses, expanded off-farm employment opportunities, better access to services and infrastructure, and capacity to influence policy all lead to improved rural livelihoods and inclusive growth. For more information, see IFAD's 2016 *Rural Development Report: Fostering inclusive rural transformation* at: https://www.ifad.org/documents/30600024/30604585/RDR_OVERVIEW_WEB.pdf/e8e9e986-2fd9-4ec4-8fe3-77e99af934c4

7. System of cities is the "human interaction networks and their connections with the built and natural environments." (Chase-Dunn, Christopher; Jorgenson, Andrew. *Settlement Systems: Past and Present*. Institute for Research on World-Systems, University of California, Riverside. <https://irows.ucr.edu/research/citemp/setsys/setsys.htm>).

A system of cities refers to the notion of functional and spatial interconnection between cities and towns in a region, each of them acting as a node in a network of cities. This notion is particularly interesting because of the complementary roles (in terms of size, population, function, services, resources and governance) that each city can provide to the rest of the network, allowing for the system of cities to profit from economies of agglomeration.

8. The International Guidelines for Urban and Territorial Planning (IG-UTP) were developed as a framework to support and strengthen spatial planning at all levels of governance. They were adopted by the UN-Habitat Governing Council in 2015 and referenced in the NUA. For more information, see <https://unhabitat.org/books/international-guidelines-on-urban-and-territorial-planning-ig-utp-handbook/>.

9. National Urban Policies (NUP) is a primary means of implementation of the New Urban Agenda. According to UN-Habitat, a NUP is: "a coherent set of decisions derived through a deliberate government-led process of coordinating and rallying various actors for a common vision and goal that will promote more transformative, productive, inclusive and resilient urban development for the long term" (UN-Habitat, 2015. *National Urban Policy: a guiding framework*. Nairobi). Urban-rural linkages can be a strong component of national urban policies as countries have been demonstrating in different regions. The development of Guiding Principles for Urban-Rural Linkages (GP-URL) have been convened to support governments at all levels to link national sustainable development and urban policies to at the same time strengthen urban-rural linkages to advance integrated territorial development. For more information on the relationship



of NUP and GP-URL see *National Urban Policy: A guiding framework* at <https://unhabitat.org/books/national-urban-policy-a-guiding-framework/>.

10. Rio and Rio+20 principles:

a. “The Rio Declaration on Environment and Development, adopted by 178 Member States in 1992 at the Earth Summit, was at the time perceived as a progressive statement by all nations that enshrined the recognition of the indivisibility of the fate of mankind from that of the Earth, and established sustainable development in international law. The Declaration, a compact set of 27 principles, promoted principles such as the centrality of human beings to the concerns of sustainable development (Principle 1); the primacy of poverty eradication (Principle 5); the importance of the environment for current and future generations and its equal footing with development (Principles 3 and 4) [...]” (*Review of Implementation of the Rio Principles*, United Nations, p. 1, <https://sustainabledevelopment.un.org/content/documents/1127rioprinciples.pdf>).

b. The Rio+20 Conference was held twenty years after the first conference in Brazil in 2012 to renew the commitment of Member States to the principles of the Rio Declaration and to further define the roadmap towards an Agenda 2030 of Sustainable Development, producing the

Future We Want as the final outcome and the foundation for the 2030 Agenda for Sustainable Development. For further information access: <https://sustainabledevelopment.un.org/content/documents/733FutureWeWant.pdf>

11. Vulnerable populations also referred to as including at-risk or marginalized groups are population groups with a high vulnerability. Vulnerability is defined as “the degree to which a population, individual or organization is unable to anticipate, cope with, resist and recover from the impacts of disasters”. (*Environmental health in emergencies and disasters: a practical guide*. WHO, 2002).

Contributors to the Guiding Principles named women, Indigenous Peoples, children, youth, elders, slum dwellers, smallholders and the forcibly displaced, among others, as being at risk of being left behind. The degree of vulnerability or marginalization of these and other actors depends on historically and politically different contexts. Assessment of actors and sectors historically excluded and who need to be included is one of the first steps to realize in any truly participatory process. Read more at: https://www.who.int/environmental_health_emergencies/vulnerable_groups/env/.



12. „The Whole of government approach is one in which public service agencies work across portfolio boundaries, formally and informally, to achieve a shared goal and an integrated government response to particular issues. It aims to achieve policy coherence in order to improve effectiveness and efficiency. This approach is a response to departmentalism that focuses not only on policies but also on programme and project management.” (Source: WHA A68/17, footnote 2).

13. Financial mechanism is a “method or source through which funding is made available, such as bank loans, bond or share issue, reserves or savings, sales revenue.” Available at: <http://www.businessdictionary.com/definition/financial-mechanism.html>.

14. Financial instruments are monetary contracts between parties. They can be created, traded, modified and settled. They can be cash (currency), evidence of an ownership interest in an entity (share), or a contractual right to receive or deliver cash (bond). Read more at: <https://www.iasplus.com/en/standards/ifrs/ifrs9>.

15. Payment for environmental services (PES) or payments for ecosystem services “occur when a beneficiary or user or an ecosystem service makes a direct or indirect payment to the provider of that service. The idea is that whoever

preserves or maintains an ecosystem service should be paid for doing so”. For more information see <http://www.undp.org/content/sdfinance/en/home/solutions/payments-for-ecosystem-services.html>.

16. Urban-Rural Partnerships: Guiding Principle 5, Balanced Partnerships, calls for inclusive, participatory and adaptive partnerships. Different mechanisms, alliances and associations to strengthen urban-rural linkages appear throughout the Framework for Action. OECD’s report on *Rural-Urban Partnerships – An Integrated Approach to Economic Development* is a good overview of the topic and can be found at <http://www.oecd.org/development/rural-urban-partnerships-an-integrated-approach-to-economic-development.htm>.

17. Urban metabolism analyzes how urban areas function in terms of resource flows (including food, water, waste, energy, etc.) and its underlying infrastructures. Urban metabolism allows to understand the relationship between human activities and the built environment from a systems perspective, helping cities and city regions assess current resource use and identifying pathways for improvement. For more information see <https://www.urbanmetabolism.org>.

18. Multimodal Transportation Planning: Multimodal planning refers to

transportation and land use planning that considers diverse transportation options, typically including walking, cycling, public transit and automobile, and accounts for land use factors that affect accessibility. For further information, see http://www.vtpi.org/multimodal_planning.pdf.

19. Smart Village: The European Commission describes Smart Villages in the following way: “The emerging concept of Smart Villages refers to rural areas and communities which build on their existing strengths and assets, as well as on developing new opportunities. In Smart Villages traditional and new networks and services are enhanced by means of digital, telecommunication technologies, innovations and the better use of knowledge, for the benefit of inhabitants and businesses. Digital technologies and innovations may support quality of life, higher standard of living, public services for citizens, better use of resources, less impact on the environment, and new opportunities for rural value chains in terms of products and improved processes.” For more information see: *EU Actions for Smart Villages*, European Commission: https://ec.europa.eu/agriculture/sites/agriculture/files/rural-development-2014-2020/looking-ahead/rur-dev-small-villages_en.pdf.

20. Food Systems is defined by FAO as encompassing all the stages of keeping

us fed: growing, harvesting, packing, processing, transforming, marketing, consuming and disposing of food (for more on FAO’s definition, see: <http://www.fao.org/3/ca2079en/CA2079EN.pdf>). Local and regional food systems are also referred to as territorial food systems or city region food systems (CRFS). Food systems at most scales include urban-rural linkages and the transformation to sustainable food systems will require integration of urbanization and rural transformation. For more information on food system transformation see: <http://www.fao.org/cfs/cfs-home/plenary/cfs43/side-events/51/en/>.

21. Circular Economy is defined as “a regenerative system in which resource input and waste, emission, and energy leakage are minimized by slowing, closing, and narrowing energy and material loops”. (Geissdoerfer, Martin; Savaget, Paulo; Bocken, Nancy M. P.; Hultink, Erik Jan (2017-02-01). *The Circular Economy – A new sustainability paradigm?*, Journal of Cleaner Production. 143: 757–768. <https://www.sciencedirect.com/science/article/pii/S0959652616321023>). Applied to urban-rural linkages, the circular economy has wide relevance in terms of reciprocal flows of goods and services, for example the circular flows of food and fiber products to post-consumer recyclable and reusable materials.

Annex 2. List of institutional partners

Over 125 individuals, institutions and experts participated in development of the Guiding Principles and Framework for Action - representing national, regional and local governments, United Nations agencies, international development organizations, academic and research organizations, nongovernmental, civil society and private sector organizations, and international development experts.

United Nations and Treaty Bodies

Convention on Biological Diversity	Food and Agriculture Organization of the United Nations (FAO)	International Fund for Agricultural Development (IFAD)
UN Environment Programme (UNEP)	United Nations Centre for Regional Development (UNCRD)	United Nations Economic Commission for Africa (UNECA)
United Nations Programme for Human Settlement (UN-HABITAT)	World Food Programme (WFP)	World Health Organization (WHO)

International Development Organizations



National Governments



Associations of Local Authorities and Officials

Commonwealth Association of Planners (CAP)



Nongovernmental and Civil Society Organizations



FIAN International



Jamaica Network of Rural
Women Producers



URGENCI

Academic, Research and Private Organizations



Centre for Sustainable Food
Systems, Wilfried Laurier
University

John Hopkins Center
for a Livable Future



3 ideas



Annex 3. Urban-Rural Linkages Events

Expert Group Meeting in Montería, Colombia, 27-28 October 2015

Sarfaraz Alam
Maruxa Cardama
Antonella Contin
Rafael Forero
Muhammad Juma
Louis Roger Manga
Joaquín Pardo
Anaclaudia Rossbach
Remy Sietchiping
Chikako Takase

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Thomas Forster
Jackson Kago
Joseph Nasr
Christine Platt
Cesar M. Salcedo
Li Sun
Elkin Velasquez

Sergio Blanco
Innocent Chirisa
Francisco Díaz Gomez
Claudia Hoshino
Roberto Lippi
Sonia Orjuela Parra
Carolina Romero
Guido Santini
David Suttie
Xing Quan Zhang

Sponsors:



Outcome documents



Montería Communiqué



Montería Draft Report



First Working Session WUF9 Kuala Lumpur, 10 February 2018

Charles Baraka Mwau

Lucie Charles

Chris Dekki

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David Kitenge

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Tori Okner

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Outcome documents



First Working Session WUF9 Report



Expert Group Meeting La Paz, 19-20 June 2018

Rosmary Amezegrosa	Abraham W. Apaza Condori	Fatou Aris
José Guillermo Bazoberry Chali	Carlos Blanco	Jaime Berdugo
Stephen Blighton	Nicolayeb Brun	Sergio Blanco
Vania Calle	Augusto Castro	Juan Cabrera
Carla Camacho	Daniela Clavijo	Edgar Cataño Sanchez
Bianca de Marchi Moyano	Javier Delgadillo	Antonella Contin
Fabui Egar	Boris Fernandez	Florence Egal
Rafael Forero	Thomas Forster	Jorge Ferrufino Barboza
Maribel Gutierrez	Pablo Hernan Cruz	Arthur Getz Escudero
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Alberto José Rivera Pizarro	Jhanira Rodriguez	René Augusto Pereira Morató
Jorge Antonio Sainz Cardona	Elizabeth Salguero	Remy Sietchiping
Gloria Torrez	Josue Miguel Silva Paco	Ruvi Suarez
Jorge Valezuela	Ariel Torrico	Patricia Urquieta C.
Darf Vargas Baltrón	Helio Vanderlei	Dan Delvi Vargas Beltrán
Viviana Zamora	Alan Vera	Belen Zamora

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EGM Report



Key Messages for Policy Makers



La Paz Communiqué

Regional Awareness Workshop Nairobi, 18-19 September 2018

Abdoulaye Diouf

Ali Haji Khamis

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Sédric Tiobo'o

Stephanie Loose

Usman Alhaji Liman

Sponsors

The Regional Awareness Workshop took place within the United Nations
Development Account project

“Leaving No Place Behind: Strengthening Urban-Rural Linkages in Africa”

Outcome documents



Regional Awareness Workshop Report



In many countries, the link between rural and urban areas is an increasingly important area of focus for sustainable development plans. There is also general agreement that any development of urban, peri-urban and rural areas will be "integrated". With increasing rates of urbanization, there is some urgency to understanding the nature of urban-rural linkages on the ground, and how the communities whose lives will be affected can be part of the development process.

The Guiding Principles outlined here are based on the premise that urban and rural areas should not be treated as separate entities when development plans, policies and strategies are made. Rather, the aim is to harness the potential that their combined synergy generates, so that everyone benefits from the circular flow along the urban-rural continuum. A Framework for Action is also provided that contains specific ways in which, for example, governance, environmental protection, communication, budgets, investment and planning could be approached in order to ensure all stakeholders are treated fairly and equally.

All stakeholders involved in sustainable development, urbanization, rural development, policy development, planning and integrated approaches to these issues will find important and useful information in this guide.

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UN HABITAT

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Acronyms and Abbreviations

ACC	African Centre for Cities, University of Cape Town
BMZ	German Federal Ministry for Economic Cooperation and Development
CAP	Commonwealth Association of Planners
CBD	Convention on Biodiversity
CFS	Committee on World Food Security
CSFS	Centre for Sustainable Food Systems, Wilfrid Laurier University
CIRAD	French Agricultural Research Centre for International Development
CLF	Johns Hopkins University Center for a Livable Future
CSO	Civil Society Organization
DRR	Disaster Risk Reduction
FAO	United Nations Food and Agriculture Organization
FIAN	FoodFirst Information and Action Network
GAIN	Global Alliance for Improved Nutrition
GHG	Greenhouse Gasses
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GP-URL	Guiding Principles for Urban Rural Linkages
GPS	Global Positioning System
ICLEI	Local Governments for Sustainability
ICT	Information and Communication Technologies
IFAD	International Fund for Agricultural Development
IG-UTP	International Guidelines on Urban and Territorial Planning
ILM	Integrated Landscape Management
ITD	Integrated Territorial Development
MSME	Micro, Small and Medium Enterprises
MUFPP	Milan Urban Food Policy Pact
NCDs	Non-Communicable Diseases
NGO	Nongovernmental Organization
nrg4SD	Network for Regional Governments for Sustainable Development



NUA	New Urban Agenda
NUP	National Urban Policy
OECD	Organization for Economic Cooperation and Development
PES	Payment for environmental services
RAI	Responsible Agricultural Investment
RBA	Rome Based (Food) Agencies
RIMISP	Centro Latinoamericano para el Desarrollo Rural
RUAF	Resource Centres on Urban Agriculture and Food Security
SDGs	Sustainable Development Goals
SloCaT	Partnership on Low Carbon Transport
SLU	Swedish University of Agricultural Sciences
TOD	Transit Oriented Development
UBA	German Environment Agency
UCLG	United Cities and Local Governments
UFZ	Helmholtz Centre for Environmental Research
UNCRD	United Nations Regional Development Centre
UNECA	United Nations Economic Commission for Africa
UNEP	United Nations Environment Programme
UN-HABITAT	United Nations Human Settlements Programme
UNU-IIGH	United Nations University International Institute for Global Health
URLs	Urban Rural Linkages
VGGT	Voluntary Guidelines for Responsible Governance of Tenure of Land, Fisheries and Forests
WASH	Health: Water, Sanitation And Hygiene
WFP	United Nations World Food Programme
WHO	United Nations World Health Organization



Foreword



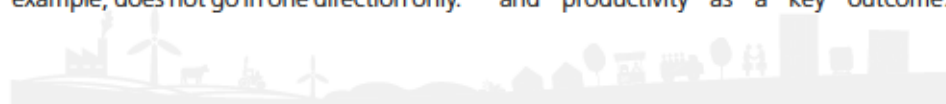
I am delighted to present the publication “Urban-Rural Linkages to Advance Integrated Territorial Development: Guiding Principles and Framework for Action”. This comes at a time when spatial inequality between the urban and rural areas is of great concern in the global agenda.

Within 30 years, two-thirds of the world’s population will live in urban areas; 90 per cent of urban growth will occur in less-developed regions such as East Asia, South Asia, and sub-Saharan Africa, at a rapid pace and in situations where capacities and resources are most constrained and development challenges are most intense. This makes the relationship between urban and rural communities an increasingly important one.

Urban and rural communities do not live in isolation from one another. The flow of people, goods, services and transport, for example, does not go in one direction only.

In fact, there is a repeated and reciprocal circular movement across the urban-rural continuum that connects these areas and generates a synergy that is greater than the sum of the parts, and that contributes to functional, integrated territories and regions.

This urban-rural relationship is increasingly the focus of attention from national, regional and local governments, planners and development agencies. This is partly because sustainable urbanization is central to the realization of the global development goals as set out in the suite of global agreements signed between 2015 and 2016. These include, most importantly, the 2030 Agenda for Sustainable Development and the New Urban Agenda (NUA). In its draft, strategic plan 2020-2025, UN-Habitat has proposed “enhanced prosperity of regions” as one of its four focus areas, and improved spatial connectivity and productivity as a key outcome.



These Guiding Principles lay the ground for the realization of these objectives.

The urban-rural continuum has great untapped potential to significantly benefit the people who live in these places, and inclusive, planned and responsible actions are needed to deliver these benefits. The Guiding Principles can help shape strategies, policies and plans for sustainable urban and territorial development that include the perspectives and participation of those whose lives are most affected. These principles are made applicable through a companion Framework for Action drawn from concrete policies and practices and which

contains practical suggestions that can be adapted to diverse contexts. Any aspect of sustainable development brings its own challenges, but rural transformation linked with urbanization requires a specific focus. These Guiding Principles bring together the ideas and values that all agents of change should be mindful of when they are engaged in planning for change.

The principles will undoubtedly evolve as they are adapted and interpreted, but it is our hope that they will mainstream and support the urban-rural perspective so that no one in these communities is left behind.



Ms Maimunah Mohd Sharif
Under-Secretary-General United Nations
Executive Director UN-Habitat



Introduction

The Urban-Rural Linkages: Guiding Principles and Framework for Action to Advance Integrated Territorial Development

In both the 2030 Agenda for Sustainable Development (SDGs)¹ and the New Urban Agenda (NUA)², United Nations Member States agreed to policies that support integrated urban and territorial planning and development. They called for new, inclusive approaches and enhanced synergies between urban and rural communities and spaces - an essential component of the vision of Agenda 2030 to “leave no one behind”.

The vision and commitments these and other global framework agreements³ espouse recognize and respond to rapidly evolving urban-rural systems in which households, communities and local and national governments face new and often critical challenges. Governments at all levels, along with United Nations agencies and other important agents of change, **must move from a growing recognition of these challenges to coordinated actions to strengthen urban-rural linkages and implement integrated territorial development**⁴.

There are many examples of public policies that support coordinated action to strengthen urban-rural linkages (URLs)⁵ and these Guiding Principles aim to promote coherence, exchange and impact.

Why are urban-rural linkages so important? In many settlements, a large number of households live, work in and depend on both rural and urban ecosystems that sustain human life beyond political and administrative spheres. The **reciprocal and repetitive flow of people, goods and financial and environmental services (defining urban-rural linkages) between specific rural, peri-urban and urban locations are interdependent**; they are the reality of socio-spatial arrangements, creating places with distinct yet interwoven, socially constructed identities.

From this emerges the possibility of people- and place-based development along the urban-rural continuum, i.e. the promotion of urban-rural linkages through “functional territories”⁴ that help to reduce regional inequalities and increase resource efficiencies. Formulating and implementing policies, and planning interventions that reduce territorial inequality and strengthen urban-rural territories (including in smaller and island countries) could generate better and more sustainable development results that will meet many of the goals and targets in the SDGs, the NUA and other, parallel international agendas.

The adoption of a global goal for sustainable urbanization as one of the Sustainable Development Goals (SDG 11) brought further attention to the topic of urban-rural linkages in SDG target 11a. **The benefits of investing in connective infrastructure and services, while building capacity for inclusive and functional territories linking urban and rural communities, are immense in all three areas of sustainable development: economic, social and environmental.**

The emergence of territorial approaches to sustainable development that includes small and intermediate cities, towns, villages and surrounding rural areas is critical in managing a comprehensive, interlinked and truly participatory approach to sustainable development. Urbanization and rural transformation⁶ can no longer be addressed separately and the processes must be mutually reinforcing.

The goal of these Guiding Principles is to inform pragmatic strategies and propose a Framework for Action to build an enabling environment for more inclusive and functional urban-rural linkages. The principles are flexible and can be applied by all levels of stakeholders at all scales. While the principles are designed for universal application, there are distinct roles and actions appropriate for national or local

governments, civil society, the private sector and international organizations. In addition, they can be applied in varying national contexts; for example, where there is a concern about the rate of urbanization and rural transformation, or the degree of diversity in the population. The Guiding Principles are to help address the complexity of aligning different levels of governance (national, territorial and local) while recognizing unique local contexts and multiple possibilities for implementation. Urban-rural linkages that advance integrated territorial development are not only about a collection of separate subnational regions, but are also about systems of cities at national and even across national to regional levels.

As the Guiding Principles are adapted to and interpreted for particular needs and challenges, they will undoubtedly evolve as the body of practice on integrated and sustainable territorial planning and development accumulates and is evaluated. The Guiding Principles will contribute to the mainstreaming and supporting of urban-rural perspectives into other frameworks adopted by the United Nations Member States – for example the International Guidelines on Urban and Territorial Planning (IG-UTP)⁷. **The Guiding Principles also provide a reference for revising national and subnational rural, urban and territorial policy frameworks.**

Our vision for what lies ahead:

The application of these Guiding Principles and the accompanying Framework for Action will contribute to the creation of fair and sustainable livelihoods across the urban-rural continuum by strengthening the roles of local governments and other institutional partners. It will promote the recognition of the interdependence between urban and rural environments and recognize the importance of protecting ecosystems. Marginalized groups such as women, smallholders and Indigenous Peoples often have an important role as stewards of ecosystems and agents of change. Cooperation between actors must help to leverage this role by supporting employment and sustainable economic development in the context of ecosystem functions, and enabling health and wellbeing for households in interdependent urban, peri-urban and rural areas.

Application, testing and validation of Guiding Principles for Urban-Rural Linkages:

A. Global normative and thematic processes: The Guiding Principles and Framework for Action were developed with the support of institutions (local, national and international) who are actively engaged in the implementation of the 2030 Agenda, the New Urban Agenda and other global agendas. These principles may be adopted, endorsed or otherwise validated in these processes.

B. National and subnational processes: The Guiding Principles and Framework for Action need to be or continue to be mainstreamed in international and national and subnational policies, some of which are related to global processes, and others that originate at national or subnational levels. Examples of these are the mainstreaming of urban-rural linkages in national urban policies (NUP)⁸, rural development policy, urban and territorial planning, food security and nutrition plans, social protection and public infrastructure plans, among others. Along with the principles and Framework for Action, additional tools for monitoring and evaluating progress, mapping stakeholders and identifying data needs and policy options will be made available.







PART 1

Guiding Principles for Urban-Rural Linkages



PART 1. Guiding Principles



1
LOCALLY GROUNDED
INTERVENTIONS



2
INTEGRATED GOVERNANCE



3
FUNCTIONAL AND SPATIAL
SYSTEMS-BASED APPROACHES



4
FINANCIALLY INCLUSIVE



5
BALANCED PARTNERSHIP





6
HUMAN RIGHTS-BASED



7
DO NOT HARM AND PROVIDE
SOCIAL PROTECTION



8
ENVIRONMENTALLY SENSITIVE



9
PARTICIPATORY
ENGAGEMENT



10
DATA DRIVEN
AND EVIDENCE-BASED





1

LOCALLY GROUNDED INTERVENTIONS

Local context matters a lot in making urban-rural linkages work and should inform and guide the translation of global agendas such as the 2030 Agenda for Sustainable Development (including the SDGs), the New Urban Agenda (NUA) and others. National and subnational commitments should have policy coherence and integrated actions across the territory. Such translation should mainstream urban-rural linkages and integrated territorial development; it should help local authorities and subnational actors to take the lead in overcoming social, economic and environmental inequalities while also leveraging the comparative advantages of the flows of people, goods and services across the urban-rural continuum.



2

INTEGRATED GOVERNANCE

Strengthen governance mechanisms by incorporating urban-rural linkages into multi-sectoral, multi-level and multi-stakeholder governance. To deliver the SDGs and to address the humanitarian-development-peace nexus, for example, requires policies, strategies and action plans that are:

- a. *horizontally* integrated across spatial scales in metropolitan regions, adjacent cities and towns, including rural hinterlands;
- b. *Sectorally* integrated with the public and private sectors, civil society organisations, research and professional institutions, formal and informal civic associations; and
- c. *Vertically* integrated across different levels of engagement and official decision making. Enhance and institutionalize synergies from the integration of urban and rural actors and actions across horizontal, sectoral and vertical dimensions.





3

FUNCTIONAL AND SPATIAL SYSTEMS-BASED APPROACHES

Use system-based approaches to promote integrative and inclusive urban, territorial and rural policy and planning to support the analysis of the flow of resources such as people, water, biodiversity and food. Consider the different scales of urban and rural settlements in systems of cities and towns of different sizes. Consider the existing functional territorial and ecosystem-based interlinkages between urban and rural settlements and land-use (including remote hinterlands and outer islands) and use them to have greater impact and equity.



4

FINANCIALLY INCLUSIVE

Secure and prioritize sustainable public and private investment to balance and strengthen urban-rural linkages. Where possible, adjust funding to meet objectives for integrated rural and urban economic, social and environmental development. Investment must not be limited to larger or capital cities, but should also include smaller settlements, including villages, towns, intermediate cities and peri-urban areas. Pay close attention as well to the diverse formal and informal economic actors needing financial support, including smallholder associations and new entrepreneurs. Promote fiscal strategies to address unequal access to public services and infrastructure investment.





5

BALANCED PARTNERSHIP

Foster partnerships, alliances and networks that link urban and rural actors and different sectors. Develop and harness capacities and skills across a wide range of stakeholders such as civil society, the private sector and academic institutions through inclusive and participatory processes, especially within the most marginalized groups and communities. Inclusive partnerships are likely to require flexibility and adjustments based on new knowledge, and generate new avenues for addressing economic, social and environmental change.



6

HUMAN RIGHTS-BASED

Embed human rights-based approaches in all policy instruments and actions to ensure that development initiatives and processes do not negatively affect anyone's human rights across the urban-rural continuum. Interventions should respect, promote and fulfil human rights, such as the right to employment, the right to education, the right to health, the right to adequate and affordable housing, and the right to food. Protecting an area's natural biological diversity should complement upholding human rights in that area.





7

DO NO HARM AND PROVIDE SOCIAL PROTECTION

Strengthen urban-rural linkages to overcome conflict, recognize cultural diversity and reduce inequalities. This can be done through the promotion of wellbeing, health, food security and nutrition, and the protection of water, energy, mobility and shelter, biodiversity and land tenure in initiatives, policies, programmes and service provision. Strike a balance in measures and social protection programmes affecting men and women, and different age and socio-economic groups across the urban-rural continuum.



8

ENVIRONMENTALLY SENSITIVE

With the key principles of Rio and Rio+20 in mind⁹, the resources needed by the current population must be addressed without compromising the ability of future generations to meet future needs. Other principles that will strengthen integrated territorial development and investments along the urban-rural continuum should also prioritize protecting, sustaining and expanding areas that are important to biodiversity and ecosystem services. This will ensure an integrated urban-rural transition to resilient, resource efficient, low-carbon and circular economies.



9

PARTICIPATORY ENGAGEMENT

Ensure meaningful participation by people, local institutions and communities across the urban-rural continuum. Create spaces and mechanisms as needed to engage in political dialogue and planning processes for women, Indigenous Peoples, children, youth, elders, persons with disabilities, slum dwellers, smallholders and the forcibly displaced and others at risk of being left behind. Build capacity to empower vulnerable groups¹⁰ and for the active engagement of urban, peri-urban and rural communities in integrated territorial governance. Protect and respect local and indigenous cultures. Recognize that the relation of culture to migration, mobility and displacement is critical for social protection and resilience, and is a key factor in the design of appropriate strategies and interventions.

10

DATA DRIVEN AND EVIDENCE-BASED

Establish or improve knowledge systems and fill data gaps so that there is evidence to support planning methods that will reinforce the urban-rural continuum and improve territorial cohesion. Improve and collect, where needed, disaggregated territorial data, including for age, gender and socio-economic status. Collect urban, peri-urban and rural disaggregated data and indicators on both national and subnational levels (addressing appropriate scale and including quantifiable and qualitative data). Incorporate non-state and grassroots knowledge. Facilitate knowledge sharing, monitor performance and evaluation, and make information accessible, transparent, interactive and available for all.





PART 2

Framework for Action for Urban-Rural Linkages



PART 2. Framework for Action

The Guiding Principles for Urban-Rural Linkages apply to all sections of the Framework for Action and are also relevant for governments of all levels and other stakeholders. Sections of the framework identify sample strategies and policies, as well as planning and institutional actions to **create an enabling environment** in selected **sectoral and thematic entry points** for economic, social and environmental applications of the Guiding Principles. The framework is designed to support and provide guidance to all actors. Using a systems approach, the proposed fields of action are often related to each other and are informed by experiences at national and local levels.

There are roles for all stakeholders with some actions applying to several actors, while others apply to more specific ones. The actions in the framework outlined below link urban, peri-urban and rural actors both spatially and functionally. They also link different government levels, sectoral policies and programmes. By working together to reach shared perspectives on integrated territorial development, it is possible to enhance synergies and flows of people, products, services and information.

The overall goal is to foster inclusive economic, social and environmental sustainability across the urban-rural continuum.



Creating an enabling environment for strengthened urban-rural linkages:

- A** Governance, legislation and capacity development
- B** Integrated planning across the urban-rural continuum
- C** Investment and finance for inclusive urban-rural development
- D** Empower people and communities
- E** Knowledge and data management for dynamic spatial flows of people, products, services, resources and information

Sectorial and thematic entry points to promote Integrated territorial development:

- F** Territorial economic development and employment
- G** Coherent approaches to social service provision
- H** Infrastructure, technology and communication systems
- I** Integrated approaches for food security, nutrition, and public health
- J** Environmental impact and natural resource and land management
- K** Conflict and disaster





2
INTEGRATED
GOVERNANCE



5
BALANCED
PARTNERSHIP



9
PARTICIPATORY
ENGAGEMENT

A

Governance, legislation and capacity development

- 1. Establish “whole-of-government” approaches¹².** Multi-level governance, multi-sectoral and multi-actor mechanisms should be responsive and foster conditions by which local governments can realize integrated territorial development and management of critical resources within a national framework. Governance arrangements could be promoted, for example, through inter-municipal cooperation and associative governance mechanisms at the subnational level, leading in some cases to new, integrated agencies or associations (e.g. starting with waste, water, public transport or land management).
- 2. Convene governance mechanisms to review institutional mandates and policies** (e.g. rural dimensions in urban policies and urban dimensions in rural policies), including coherence and harmonization between national, regional and local norms and decisions. Propose executive and/or legislative initiatives, regulations, procedures and interventions at a territorial level. Such interventions may include looking again at governance structures that have previously led to unproductive administrative separation and/or ensuring there are not similar but unconnected structures in both urban and territorial authorities.
- 3. Develop a framework for inclusion of urban and rural at-risk populations.** Include vulnerable and marginalized people in the planning, decision-making and design of governance platforms and programmes to promote holistic understanding of issues. Increase accountability through monitoring and evaluating processes to ensure the inclusion of urban and rural communities, for example, developing tools for impact assessment of policies, strategies, programmes and initiatives to strengthen territorial integration.



- 4. Establish mechanisms and participatory approaches for reconciling differences** and achieving sustainable agreements between public and private interests. Ensure that the rights of all stakeholders are respected in ongoing land-use or service-related conflicts, for example when urban expansion for new housing threatens agricultural, environmental or traditional community interests.
- 5. Establish ongoing knowledge exchange**, platforms, dialogue and capacity development to strengthen urban-rural linkages that drive sustainable and inclusive growth (honouring the territory's carrying capacity). Support ongoing dialogue between stakeholders through dedicated and innovative training curricula for regional planners and cross-sector collaboration with academia, non-governmental partners and those most likely to be left behind.
- 6. Develop and implement strategies to raise awareness** of the dimensions, benefits and dynamics of urban-rural linkages. This can be done through existing and new networks and territorial associations of professional planners and planning departments. Functional planning units from urban and territorial jurisdictions that need training and support can build capacity through association. National-level sectoral planners can help to stimulate greater knowledge exchange and capacity development at local planning levels.





Integrated planning across the urban-rural continuum

- 1. Institute mechanisms for localization of national planning via strengthened local planning institutions.** Develop instruments that advance cross-sectoral planning at national and subnational levels in a multi-stakeholder setting, addressing the important role for local governments in land- and water-use planning and management. National urban policies that address economic and social development in rural areas that are also environmentally responsible can be a vehicle for the delegation of planning powers, as encouraged in the New Urban Agenda.
- 2. Adapt and apply multi-level, multi-sector and multi-stakeholder approaches to integrated planning** as appropriate for different actors, as proposed in the International Guidelines for Urban and Territorial Planning (IG-UTP). This links national planning for sustainable urban development to integrated territorial development. It also emphasizes the participation of civil society and specific attention should be given to marginalized groups in both local and national planning and management.
- 3. Formalize networks of jurisdictions and systems of cities and towns at territorial and regional levels.** The aim is to jointly define a vision and develop action plans for sustainable economic, social and environmental development that integrates sectoral requirements at regional levels. Networks will also build capacity and identify synergies that are in line with the potential and the constraints of the urban, rural and territorial ecosystem.



NUA



IG-UTP



- 4. Institute mechanisms to bring together government planning authorities.** Special attention should be given to the financial, cultural and institutional dimensions and needs of rural settlements, small towns and intermediate cities. Strengthen their capacities to engage in integrated territorial development, for example through territorial associations between small towns and cities.
- 5. Make and implement integrated planning goals to reduce urban-rural economic, social and environmental gaps.** This could include reviewing, adapting and using locally relevant legal and legislative instruments and methods to develop people and place-based development plans, including the integration of environmental protection, climate resilience, land use, infrastructure and transport.
- 6. Develop criteria and approaches for land-use planning, management and regulation.** These are often the tools available for local governments to address urbanization and rural transformation. Approaches can be designed to be sensitive to culture, environment and health in planning and provide strategic pathways. Examples include quality public space and gender-responsive planning, innovations such as zoning for green and blue biodiversity corridors, cultural preservation and healthy food zones that build links with local smallholder producers, etc.





3
FUNCTIONAL
AND SPATIAL
SYSTEMS-BASED
APPROACHES



4
FINANCIALLY
INCLUSIVE



5
BALANCED
PARTNERSHIP



Investment and finance for inclusive urban-rural development

- 1. Adapt and align public budgets at national and local levels to integrate territorial policies.** For sectoral budgets, engage new or adapted mechanisms to invest in actions that promote urban-rural linkages that understand the needs and challenges of specific territories.
- 2. Institute measures and practices to improve public and private finance instruments** to address credit and remove finance barriers. Include measures to preserve and create jobs across the urban-rural continuum. At the public finance level, include budgeting at a national level to support coordinated strategies and action plans such as municipal finance and rural development assistance, tax policy and transfers of funds to local governments. Develop frameworks to foster local fiscal systems. Have innovative financial mechanisms¹³ to, for example, reduce credit gaps and ensure equitable tax distribution.
- 3. Encourage (and, where needed, legislate) private banks and intermediaries together with public finance agencies and instruments¹⁴ to promote responsible, ethical and sustainable investment practices by subnational and local financial institutions.** Fund projects and partnerships that create linkages and synergies between urban and rural development. Subnational associations of governments could be particularly encouraged. Support relevant actors (including small towns and intermediate cities) through increased access to banking activities and credit offered by financial intermediaries, donor governments and organizations.



4. Adapt financing mechanisms for payment for environmental services¹⁵ (PES), whether at subnational or national levels. Ensure accessibility to primary actors who steward ecosystem functions such as waste disposal/reuse, sewage treatment, watershed, agriculture and forest management, etc., and promote these where they do not exist.



5. Create incentives for those in the finance and investment community, with support from national policy and development banks, to work together to meet financial needs of, for example, smallholder producers, micro, small- and medium-size enterprises. Promising examples are emerging in social or impact financing, circular and solidarity economy initiatives. Local and regional governments can pool resources and leverage specific public and private, commercial and not-for-profit actors and initiatives.



6. Simplify procedures to encourage private actors and public institutions to improve access to (micro) credit for small-scale entrepreneurs and smallholder farmers, particularly women who may have fewer assets and informal land ownership. Youth and start-up entrepreneurs are important connectors between rural producers and with new markets for healthy food as well as for import/export. Financing for acceleration and growing of new business and employment opportunities across the urban-rural continuum is vital.





D

Empower people and communities

- 1. Identify and support various types of inclusive partnerships** and enhance synergies at all levels in both urban and rural spaces. Develop solutions for funding to provide infrastructure and services in under-served communities. Build on local contexts and past accomplishments. Foster inclusive formal and informal processes that reduce inequalities, empower community-based organizations, and support citizen groups to map and build on their relative strengths, assets and capacities.
- 2. Commit to equitable and balanced inclusion of rural and urban actors** in both informal and formal sectors to foster equitable participation in design, implementation, and the monitoring of partnerships and sharing of benefits. The informal sector is often the main domain for micro-, small- and medium-scale place-based enterprises, and is critical for women, Indigenous Peoples, smallholder farmers and others.
- 3. Adopt participatory methodologies** such as partnership guides, participatory budgeting and assessment tools, to stimulate equity and shared knowledge management across institutions and power hubs. Examples are food policy councils and multi-sector associations between government, citizen groups and business communities.
- 4. Establish a framework for enhancing cooperation** among communities and other actors in urban and rural areas that facilitates the flow of investments, knowledge and skills necessary for addressing spatial, economic and social disparity between urban and rural peoples and territories.



5. Establish local governments and institutions inclusive of working groups, thematic clusters, or partnerships of actors

with representatives from the private sector (where appropriate and preventing or addressing conflicts of interest) and civil society groups in both rural and urban areas, and between larger and smaller cities and towns and rural authorities (including regional cross-border or trans-jurisdiction boundaries).



6. Design and convene both formal and informal partnerships

across different economic, social, cultural and environmental dimensions that also address inequalities and power imbalances between urban and rural actors with a territorial approach, drawing on relevant guidelines for effective partnerships¹⁶ for urban-rural linkages.





10
DATA DRIVEN
AND EVIDENCE-
BASED



3
FUNCTIONAL AND
SPATIAL SYSTEMS-
BASED APPROACHES

E

Knowledge and data management for dynamic spatial flows of people, products, services, resources and information

- 1. Develop participatory models and methods that map and describe complex urban systems and their relationships with surrounding rural areas** at a territorial level, for example building upon the “urban metabolism approach”¹⁷, to address the transformative commitments of the New Urban Agenda. Based on the integration of social, economic and environmental development, these assessments must take into account rural under-development and be able to quantify the impact of actions at household levels and by age and gender. The descriptions of these urban-rural territories must be based on solid evidence and informed by disaggregated data.
- 2. Develop national and local governments’ capacity to use, collect and process spatially disaggregated data** and information in transparent collaboration with private, non-governmental and academic actors as well as local land-user groups, such as Indigenous Peoples’ groups and informal housing associations.
- 3. Generate new data to close information gaps.** Include observatories and GIS-based monitoring systems, data on land tenure and property transactions, local mapping of existing and traditional land tenure systems, origin-destination surveys and GPS data to assess the flows and barriers to movements such as people, goods, services, resources and information between urban and rural areas. Make this information accessible and available to local governments, academic and civil society actors as a basis for identifying appropriate, integrated urban-rural mobility services that support unimpeded flows, sustainable livelihoods and local development.

NUA



GIS



- 4. Collect and make available the data and knowledge on peoples' mobility** (including women, youth and people living with disabilities) across the urban-rural continuum (including international migration flows). This should especially focus on mobility in relation to the growth and transformative potential of small and intermediate towns and cities, including both daily and seasonal commuting as well as longer-term movement. Analysis focusing on jobs, health, food security and nutrition, and strategic environmental assessments of resource use and distribution can guide planning on different scales for dynamic mobility-based services such as training, finance and information for rural and urban multi-spatial households.



(serving the rural spaces between them) and larger cities. Institutional and infrastructure solutions to create links between local producers, consumers and service providers along agri-food value chains have potentially high returns; these could promote local investment and multiplier benefits across rural and urban areas.

4. Build stronger urban-rural linkages through coordination at inter-municipal and intra-regional levels.

This is to promote the creation of more and better farm- and non-farm jobs. It is also to leverage specific public and private, commercial, not-for-profit actors and community-based initiatives through coordinated, place-based development programmes. The informal sector should be a central element in the territorial development agenda which should focus on the role of urban and rural-based women in both farm and non-farm livelihoods.



5. Create capacity building and educational opportunities to help balance investment and finance opportunities

for urban and rural actors, and provide incentives for joint activities. Learn from innovations in participatory credit and finance schemes to enable access to financial services for all, particularly groups facing difficulties accessing finance for things such as small- and medium-scale local enterprises. Build capacity and support financial institutions to provide tailored services for these groups, including women, youth, Indigenous Peoples, smallholder farmers, MSMEs, etc.





G

Coherent approaches to social service provision

- 1. Identify needs, opportunities and gaps where strengthened urban-rural linkages can deliver more spatially and socially equitable services** and reduce the barriers to quality public social services for all socio-economic groups. Support and strengthen place-based, multi-sectoral engagement to improve the efficiency and delivery of multiple services.
- 2. Explore new models of delivery and incentives for the responsible social provision of healthy food, housing, health services and education** (for social and private sectoral providers). Ensure these models are place-based and related to specific needs, for example rural children commuting to schools in urban or peri-urban areas.
- 3. Ensure that public service delivery reaches all.** Private-public and community partnerships could be piloted to improve delivery and make better use of resources shared between municipalities. The partnerships could promote service delivery in urban-rural buffer zones and rural areas (including remote rural areas). Services that have been developed for urban populations and areas may not meet the particular needs (health, education, water and sanitation, etc.) of those in rural areas with lower population densities. These partnerships must be independently monitored and evaluated with community participation.
- 4. Develop health and sanitation plans that coordinate mandates and actions** at all levels of government and that consider the ecosystem services and connections between peri-urban and urban green areas and public spaces for human well-being; examples are mental and respiratory health aspects, and reducing the risk of non-communicable diseases.



5. **Support urban and rural communities to develop and plan for a healthy and safe living environment.** Support their contribution to getting universal health coverage. Reduce spatial and social inequities in quality health services in order to ensure that both urban and rural populations are healthy and economically productive.
6. **Mainstream health and wellbeing throughout all public service planning,** ensuring that all initiatives, policies and programmes for integrated territorial planning evaluate potential positive and negative impacts on health, and result in spaces for the safe physical activity of women, youth and children in both urban and rural areas.





H

Infrastructure, technology and communication systems

- 1. Build sustainable and resilient urban-rural transport systems**, infrastructure and services by prioritizing aspects such as multimodality¹⁸, green freight and accessible public transport. Conduct integrated urban-rural infrastructure and services analysis to identify respective population needs and challenges. The analysis will help to anticipate planning tensions and compromises depending on the carrying capacity of the territory and the sustainable management of local natural resources and biodiversity.
- 2. Use participatory analysis to bridge sectors and include the most mobility challenged populations.** Such an analysis should help build sustainable and more resilient transport systems and infrastructure to improve the well-being of people and enable the mobility of goods and services. This would particularly benefit micro-, small- and medium-scale enterprises (MSMEs).
- 3. Leverage on the technology and innovations to create equal opportunity and promote smart cities, villages¹⁹ and solutions** for greater connectivity and integration between urban and rural areas. This should assist smallholder farmers, for example, to get new ideas and inputs information, links with markets for produce, and facilitates access to processing industries and export opportunities, among others. This should ease the flow of any other information that enables the functionality of flows between the urban and rural areas.



4. **Build on shared and disaggregated data on dynamic spatial flows to jointly plan, finance and construct infrastructure** for water and sanitation, roads and transport, electrification and communications in urban-rural territories. Since a sole focus on infrastructure for new development usually pushes up the value of land and results in land sales and forced eviction, mitigation and counter-incentives need to be explored. These protective measures may include the transfer of development rights and measures to recognize and protect the rights of vulnerable groups, noting that the land claims of many of these groups may be customary.



5. **Implement integrated territorial human mobility and product distribution systems to become more inclusive and integrated.** They should have fit-for-purpose governance structures, mobile communication and ICT networks and platforms to accelerate economic development. The creation of metropolitan transport authorities and alliances between private, public and community-based operators, for example, can be a foundation for integrated transport systems.





6
HUMAN
RIGHTS-BASED



7
DO NOT HARM
AND PROVIDE
SOCIAL
PROTECTION



8
ENVIRONMENTALLY
SENSITIVE

Integrated approaches for food security, nutrition, and public health

1. **Use the agriculture and food, water, energy and health security systems and their underlying ecosystem functions as unifying frameworks to strengthen urban and rural synergies.**

This could be done through social and market relationships between food producers at all scales, intermediaries such as food supply chain actors and all food consumers. Support local farm and non-farm enterprises and leverage local food production and diets to promote food security and nutrition. Integrate issues of health, migration, food imports, climate change and conflict with job creation and funding for ecosystem services. This could promote and protect natural resource and biodiversity conservation, reduce waste, increase food security, improve nutrition and address gender equality, etc.



2. **Mainstream health and wellbeing, including food security and nutrition issues, throughout all public service planning.**

It needs to be ensured that all initiatives, policies and programmes for integrated territorial planning evaluate potential positive and negative impacts on health. Give special attention to the most vulnerable groups in cities, and in particular slum-dwellers, for whom food and nutrition security, access to health services and sanitation are a challenge. Recognize that incorporating effective actions to create jobs and improve working conditions in rural areas contributes to the livelihoods of the stewards and protectors of ecosystems. This then contributes to the food security and nutrition of rural and urban populations.



3. **Assess the quality and performance of territorial food system approaches²⁰ for linking food security and healthy diets to land, water, waste, health etc.**



social protection systems for the poor that also support on smallholder farmers, local food chain actors and consumers in territorial markets. These systems improve the nutritional quality, affordability, availability, diversity, safety and sustainability of food supply and consumption.



- 4. Adapt frameworks for action, such as those developed by city networks, national governments, United Nations agencies and other partners,** to learn from and apply innovations to strengthen urban and territorial food systems (e.g. the Milan Urban Food Policy Pact). Policies and practices should ensure that food systems provide nutritious and safe foods, and address the importance of secure tenure of land and access to water for rural and urban smallholders. Provide extension and advisory services and investments to smallholders to sustainably, profitably and locally produce and market nutritious and safe foods.



- 5. Use institutional food service (schools, hospitals, etc.) as a lever to increase access to sustainable, healthy diets while providing markets for smallholder producers.** Re-shape public food service and procurement regulations to respond to sustainable goals. This would enable the provision of nutritious and safe foods from regional seasonal produce, increase the visibility and awareness of rural livelihoods in urban areas, acknowledge indigenous knowledge and experience, preserve regional environments and farmlands, and enhance livelihoods and local economies in disadvantaged rural areas.



- 6. Institute policy interventions that effectively tackle all forms of malnutrition** (i.e. the presence of undernutrition, deficiencies in vitamins and/ or minerals, and the presence of overweight or obesity). Of the top 15 disease risks in 2017, four are dietary (alcohol use, low wholegrains, high sodium, and low fruit). Another seven are nutritional or health indicators which are highly responsive to diet. Investing in measures to address malnutrition can significantly impact health, reduce healthcare costs and is linked to better productivity. Focus attention on making nutritious and safe foods more affordable, available and desirable by collaborating with food systems partners for solutions at levels of the food supply, the food environment and the



consumer. Start with the promotion of local diets and local production of diverse and nutritious food as a cost-effective strategy to reduce non-communicable diseases. This will also generate employment and income for low-income groups (e.g. Indigenous Peoples, youth, women, migrants etc.).

- 7. Apply systems approaches to understand how complex urban-rural linkages modify health risks** (including infectious and non-communicable disease, food safety, food nutrition insecurity and malnutrition) and/or lead to cross-sectoral impacts on health. Identify leverage points for actions and analysis based on participatory engagement.





2
INTEGRATED
GOVERNANCE



4
FINANCIALLY
INCLUSIVE



8
ENVIRONMENTALLY
SENSITIVE



Environmental impact and natural resource and land management

- 1. Conduct participatory, multi-stakeholder assessments and establish monitoring systems** to identify the environmental and health impacts of urbanization and/or migration across the urban-rural continuum. This should involve different levels of government. The goal of an assessment should be to reduce risks and unequal burdens and to promote ecosystem-based approaches to planning and management for sustainable development. Finance mechanisms and incentives for fair compensation for ecosystem services between rural and urban areas must consider that the world's most fertile and productive lands are often found in the path of rapid urbanization.
- 2. Ensure adherence to existing rules, regulations and guidelines on land tenure security**, for example through the Voluntary Guidelines for Responsible Governance of Tenure of Land, Fisheries and Forests (VGGT) and Responsible Agricultural Investment (RAI), in the context of urban-rural linkages. Land and water are central to all development and are the cause of conflicts between urban and rural area actors, as well as at supranational scales. Greater transparency and attention to equity in secure access and tenure of land should be the focus of governance systems related to integrated territorial development, including customary and traditional land and water rights and tenure systems.
- 3. Incorporate integrated landscape management into territorial development plans** and support primary producers and smallholders as the stewards of ecosystem services to protect natural resources and biodiversity (including agricultural biodiversity). Enable strategies for



flood control and buffering from microclimate shocks. This could be through the recognition of and fair compensation for the provision of clean water and air, the recycling of nutrients and the reduction of waste.

4. **Develop and implement policies and programmes for conservation and sustainable use of natural resources**, including integrated wetlands, forests, mountains and water basins, as well as reciprocal water agreements and other tools, for their water security and filtration services.



5. **Use systems approaches and circular economy²¹ frameworks** to link and prioritize interventions that integrate resilience to climate change, promote biodiversity, protect ecosystem functions and natural resources, and allow for a successful transition to sustainable consumption and production. Examples of urban-rural synergy in the circular economy are recycling, reuse and remediation at the landscape level (including soil, water, plant and animal habitat) or waste and energy reuse across the urban-rural continuum. Integration of natural and built environments through nature-based solutions, such as ecosystem-based adaptation to climate change, will foster sustainability, liveability, productivity and resilience.



6. **Establish service and product procurement systems that encourage and/or require sustainable use and management of natural resources** for multiple economic and ecosystem benefits. This should include fulfilling the demands from towns and cities that can be met by peri-urban and rural producers. Natural, resource-based production systems and their linkages to services and manufacturing are both casualties and causes of climate change. Policy interventions that encourage varied diets and emphasize plant-based sources of protein (especially legumes), for example, will be not only be better for human nutrition but will also reduce the environmental costs of production (e.g. GHG emissions, groundwater pollution and land use).



7. **Ensure transparent and comprehensive decision-making processes** for investments that have a direct or indirect environmental, health and social impact, in particular on climate change and disaster mitigation.





2
INTEGRATED
GOVERNANCE



6
HUMAN
RIGHTS-BASED



8
ENVIRONMENTALLY
SENSITIVE

K

The urban-rural continuum in the face of conflict and disaster

- 1. Conduct risk assessments of displacement, conflict, natural disasters, economic shocks, environmental disasters and communicable disease outbreaks**, which can have an immediate impact on specific territories and their urban and rural populations (particularly those related to climate change).
- 2. Invest in the protection of ecosystem functions and services from peri-urban and rural areas near cities** to improve resilience and to provide basic services in disaster preparedness and restoration. These areas are often on the front lines of disaster and conflict. Institute pre-disaster and post-disaster/conflict mitigation efforts to improve resilience of transport, energy, information, health, education, food and water systems.
- 3. Put in place an emergency preparedness system to strengthen resilience to shocks and crises**, to ensure access to services. These should include food and nutrition, health, water, sanitation and hygiene (WASH), education and energy. Develop multi-sectoral early warning systems that benefit both urban and rural populations within specific territories.
- 4. Design and execute humanitarian and culturally appropriate assistance programmes, policies and projects to contribute to more effective urban-rural linkages**. Enable communities, especially women's groups, to be cooperative agents of recovery and rehabilitation and better equipped to face protracted crises.



5. Develop collaborative urban-rural strategies to mitigate or respond to crises.

This can include tools such as risk pooling and transfer instruments, leveraged cash transfers for refugees and host communities in conflict situations, food security and nutrition assessment and monitoring tools, as well as gender-focused transformative interventions, among others. For example, promoting local diets and providing jobs and income to small-scale producers helps prevent environmental and social determinants of disasters and conflicts.



6. Develop and implement tailored interventions that foster collaboration between local governments, national governments and international organizations/donors.

This will enable mutually beneficial and equitable urban-rural linkages in the context of fragile situations and protracted crises. Such interventions should be based on the principles for humanitarian action and the Committee on World Food Security (CFS) Framework for Action for food security and nutrition in protracted crises. Long-term resilience building should be linked to humanitarian responses and be recognized as critical for avoiding moving from crisis to crisis. Enhanced equality, resilience and opportunities for all across the rural-urban continuum in many cases reduces the risk and impact of conflict or disasters.





PART 3

Annexes



PART 3. Annexes

Annex 1. Glossary

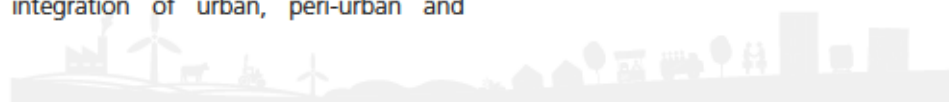
The Guiding Principles and Framework for Action are drawn from multiple sources including case studies and experiences around the world, policy decisions and reports from UN agencies, government and academic research, multi-stakeholder expert meetings, regional consultations, as well as inputs from city networks, academic and civil society experts. The GP-URL is a *living document* and literature on related topics is growing rapidly. Below are some the key terms found in the Guiding Principles and Framework for Action and related resources for further reading. Additional reference documents may be added to the project website. See <https://urbanrurallinkages.wordpress.com/resources-case-studies-and-readinds/>

1. Sustainable Development Goals (SDGs): Succeeding the Millennium Development Goals (MDGs), the SDGs were launched at the core of the 2030 Agenda for Sustainable Development in 2015. SDG 11 to “make cities and human settlements inclusive, safe, resilient and sustainable” relates to most of the other 16 SDGs and target (SDG 11.a) specifically addresses integration of urban, peri-urban and

rural sustainable development. For more information on the SDGs and the 2030 Sustainable Development Agenda see: <https://sustainabledevelopment.un.org/sdgs>.

2. New Urban Agenda (NUA): A blueprint for sustainable urbanization, the New Urban Agenda was the product of Habitat III, launched in 2016 one year after the launch of the SDGs. The New Urban Agenda addresses and expands on SDG 11 and its targets. Urban-rural linkages is referenced throughout the NUA as an important component of integrated urban and territorial planning and development. For more information on the NUA see: <http://habitat3.org/the-new-urban-agenda/>

3. Other International global frameworks: While the 2030 Agenda for Sustainable Development and the Sustainable Development Goals (SDGs) and the New Urban Agenda have the most relevance for the purposes of the Guiding Principles and Framework for Action, there are other global frameworks agreed to by United Nations Member States that also



either directly or indirectly engage urban-rural linkages or territorial development. Included in these other frameworks are the Addis Ababa Action Agenda of the Third International Conference on Financing for Development (2015), the High-level Advisory Group on Sustainable Transport (2014), the Kyoto Protocol (2005), the Sendai Framework for Disaster Risk Reduction (2015-2030), the Paris Agreement on climate change (2016), the UN Decade of Action on Nutrition 2016-2025, the New York Declaration for Refugees and Migrants (2016), and the United Nations Conventions on Desertification, Biodiversity and Climate Change (1992), among others.

4. Integrated Territorial Development (ITD) is embraced throughout the NUA with the recognition that the processes of urbanization, with supporting policy and land use planning, necessarily include a territorial dimension. A territorial dimension or territorial approach emphasizes the functional and spatial interconnection of urban, peri-urban and rural areas, forming a rural-urban-continuum. A comprehensive analysis and articulation of the concept of functional territories to reduce regional inequalities is found in the RIMISP study *Inclusive Rural-Urban Linkages*: https://www.researchgate.net/publication/270899633_Inclusive_Rural-Urban_Linkages.

Further treatment of the topic can be found in the recent paper *Territorial Perspectives for Development (TP4D)* found at https://collaboratif.cirad.fr/alfresco/s/d/workspace/SpacesStore/.../TP4D_vENG.pdf

5. Urban-Rural Linkages (URLs): The United Nations Human Settlements Program (UN-Habitat) works towards a better urban future but recognized over 40 years ago that urban and rural are interdependent and underscored the importance of urban-rural linkages. Other United Nations agencies and development partners that work towards a better rural future such as the Rome based food agencies (RBAs) often address these linkages as rural-urban. Other terms in use include urban-rural continuum, rural-urban synergies, integrated territorial development (ITD), functional territories or regional development that combine urban, peri-urban and rural planning and development. Urban-rural linkages is the more common usage and is the term used in the Guiding Principles and Framework for Action. The most recent report on UN-Habitat's approach to *Implementing the New Urban Agenda by Strengthening Urban-Rural Linkages* can be downloaded here: https://urbanrurallinkages.files.wordpress.com/2018/01/urban-rural-linkages-for-implementing-the-new-urban-agenda_08112017_spreads.pdf

6. Inclusive Rural transformation is a process in which rising agricultural productivity, increasing marketable surpluses, expanded off-farm employment opportunities, better access to services and infrastructure, and capacity to influence policy all lead to improved rural livelihoods and inclusive growth. For more information, see IFAD's 2016 *Rural Development Report: Fostering inclusive rural transformation* at: https://www.ifad.org/documents/30600024/30604585/RDR_OVERVIEW_WEB.pdf/e8e9e986-2fd9-4ec4-8fe3-77e99af934c4

7. System of cities is the "human interaction networks and their connections with the built and natural environments." (Chase-Dunn, Christopher; Jorgenson, Andrew. *Settlement Systems: Past and Present*. Institute for Research on World-Systems, University of California, Riverside. <https://irows.ucr.edu/research/citemp/setsys/setsys.htm>).

A system of cities refers to the notion of functional and spatial interconnection between cities and towns in a region, each of them acting as a node in a network of cities. This notion is particularly interesting because of the complementary roles (in terms of size, population, function, services, resources and governance) that each city can provide to the rest of the network, allowing for the system of cities to profit from economies of agglomeration.

8. The International Guidelines for Urban and Territorial Planning (IG-UTP) were developed as a framework to support and strengthen spatial planning at all levels of governance. They were adopted by the UN-Habitat Governing Council in 2015 and referenced in the NUA. For more information, see <https://unhabitat.org/books/international-guidelines-on-urban-and-territorial-planning-ig-utp-handbook/>.

9. National Urban Policies (NUP) is a primary means of implementation of the New Urban Agenda. According to UN-Habitat, a NUP is: "a coherent set of decisions derived through a deliberate government-led process of coordinating and rallying various actors for a common vision and goal that will promote more transformative, productive, inclusive and resilient urban development for the long term" (UN-Habitat, 2015. *National Urban Policy: a guiding framework*. Nairobi). Urban-rural linkages can be a strong component of national urban policies as countries have been demonstrating in different regions. The development of Guiding Principles for Urban-Rural Linkages (GP-URL) have been convened to support governments at all levels to link national sustainable development and urban policies to at the same time strengthen urban-rural linkages to advance integrated territorial development. For more information on the relationship



of NUP and GP-URL see *National Urban Policy: A guiding framework* at <https://unhabitat.org/books/national-urban-policy-a-guiding-framework/>.

10. Rio and Rio+20 principles:

a. “The Rio Declaration on Environment and Development, adopted by 178 Member States in 1992 at the Earth Summit, was at the time perceived as a progressive statement by all nations that enshrined the recognition of the indivisibility of the fate of mankind from that of the Earth, and established sustainable development in international law. The Declaration, a compact set of 27 principles, promoted principles such as the centrality of human beings to the concerns of sustainable development (Principle 1); the primacy of poverty eradication (Principle 5); the importance of the environment for current and future generations and its equal footing with development (Principles 3 and 4) [...]” (*Review of Implementation of the Rio Principles*, United Nations, p. 1, <https://sustainabledevelopment.un.org/content/documents/1127rioprinciples.pdf>).

b. The Rio+20 Conference was held twenty years after the first conference in Brazil in 2012 to renew the commitment of Member States to the principles of the Rio Declaration and to further define the roadmap towards an Agenda 2030 of Sustainable Development, producing the

Future We Want as the final outcome and the foundation for the 2030 Agenda for Sustainable Development. For further information access: <https://sustainabledevelopment.un.org/content/documents/733FutureWeWant.pdf>

11. **Vulnerable populations** also referred to as including at-risk or marginalized groups are population groups with a high vulnerability. Vulnerability is defined as “the degree to which a population, individual or organization is unable to anticipate, cope with, resist and recover from the impacts of disasters”. (*Environmental health in emergencies and disasters: a practical guide*. WHO, 2002).

Contributors to the Guiding Principles named women, Indigenous Peoples, children, youth, elders, slum dwellers, smallholders and the forcibly displaced, among others, as being at risk of being left behind. The degree of vulnerability or marginalization of these and other actors depends on historically and politically different contexts. Assessment of actors and sectors historically excluded and who need to be included is one of the first steps to realize in any truly participatory process. Read more at: https://www.who.int/environmental_health_emergencies/vulnerable_groups/en/.



12. „The Whole of government approach is one in which public service agencies work across portfolio boundaries, formally and informally, to achieve a shared goal and an integrated government response to particular issues. It aims to achieve policy coherence in order to improve effectiveness and efficiency. This approach is a response to departmentalism that focuses not only on policies but also on programme and project management.” (Source: WHA A68/17, footnote 2).

13. Financial mechanism is a “method or source through which funding is made available, such as bank loans, bond or share issue, reserves or savings, sales revenue.” Available at: <http://www.businessdictionary.com/definition/financial-mechanism.html>.

14. Financial instruments are monetary contracts between parties. They can be created, traded, modified and settled. They can be cash (currency), evidence of an ownership interest in an entity (share), or a contractual right to receive or deliver cash (bond). Read more at: <https://www.iasplus.com/en/standards/ifrs/ifrs9>.

15. Payment for environmental services (PES) or payments for ecosystem services “occur when a beneficiary or user or an ecosystem service makes a direct or indirect payment to the provider of that service. The idea is that whoever

preserves or maintains an ecosystem service should be paid for doing so”. For more information see <http://www.undp.org/content/sdfinance/en/home/solutions/payments-for-ecosystem-services.html>.

16. Urban-Rural Partnerships: Guiding Principle 5, Balanced Partnerships, calls for inclusive, participatory and adaptive partnerships. Different mechanisms, alliances and associations to strengthen urban-rural linkages appear throughout the Framework for Action. OECD’s report on *Rural-Urban Partnerships – An Integrated Approach to Economic Development* is a good overview of the topic and can be found at <http://www.oecd.org/development/rural-urban-partnerships-an-integrated-approach-to-economic-development.htm>.

17. Urban metabolism analyzes how urban areas function in terms of resource flows (including food, water, waste, energy, etc.) and its underlying infrastructures. Urban metabolism allows to understand the relationship between human activities and the built environment from a systems perspective, helping cities and city regions assess current resource use and identifying pathways for improvement. For more information see <https://www.urbanmetabolism.org>.

18. Multimodal Transportation Planning: Multimodal planning refers to

transportation and land use planning that considers diverse transportation options, typically including walking, cycling, public transit and automobile, and accounts for land use factors that affect accessibility. For further information, see http://www.vtpi.org/multimodal_planning.pdf.

19. Smart Village: The European Commission describes Smart Villages in the following way: “The emerging concept of Smart Villages refers to rural areas and communities which build on their existing strengths and assets, as well as on developing new opportunities. In Smart Villages traditional and new networks and services are enhanced by means of digital, telecommunication technologies, innovations and the better use of knowledge, for the benefit of inhabitants and businesses. Digital technologies and innovations may support quality of life, higher standard of living, public services for citizens, better use of resources, less impact on the environment, and new opportunities for rural value chains in terms of products and improved processes.” For more information see: *EU Actions for Smart Villages*, European Commission: https://ec.europa.eu/agriculture/sites/agriculture/files/rural-development-2014-2020/looking-ahead/rur-dev-small-villages_en.pdf.

20. Food Systems is defined by FAO as encompassing all the stages of keeping

us fed: growing, harvesting, packing, processing, transforming, marketing, consuming and disposing of food (for more on FAO’s definition, see: <http://www.fao.org/3/ca2079en/CA2079EN.pdf>). Local and regional food systems are also referred to as territorial food systems or city region food systems (CRFS). Food systems at most scales include urban-rural linkages and the transformation to sustainable food systems will require integration of urbanization and rural transformation. For more information on food system transformation see: <http://www.fao.org/cfs/cfs-home/plenary/cfs43/side-events/51/en/>.

21. Circular Economy is defined as “a regenerative system in which resource input and waste, emission, and energy leakage are minimized by slowing, closing, and narrowing energy and material loops”. (Geissdoerfer, Martin; Savaget, Paulo; Bocken, Nancy M. P.; Hultink, Erik Jan (2017-02-01). *The Circular Economy – A new sustainability paradigm?*, Journal of Cleaner Production. 143: 757–768. <https://www.sciencedirect.com/science/article/pii/S0959652616321023>). Applied to urban-rural linkages, the circular economy has wide relevance in terms of reciprocal flows of goods and services, for example the circular flows of food and fiber products to post-consumer recyclable and reusable materials.

Annex 2. List of institutional partners

Over 125 individuals, institutions and experts participated in development of the Guiding Principles and Framework for Action - representing national, regional and local governments, United Nations agencies, international development organizations, academic and research organizations, nongovernmental, civil society and private sector organizations, and international development experts.

United Nations and Treaty Bodies

Convention on Biological Diversity	Food and Agriculture Organization of the United Nations (FAO)	International Fund for Agricultural Development (IFAD)
UN Environment Programme (UNEP)	United Nations Centre for Regional Development (UNCRD)	United Nations Economic Commission for Africa (UNECA)
United Nations Programme for Human Settlement (UN-HABITAT)	World Food Programme (WFP)	World Health Organization (WHO)

International Development Organizations



National Governments



Associations of Local Authorities and Officials

Commonwealth Association of Planners (CAP)



Nongovernmental and Civil Society Organizations



FIAN International



Jamaica Network of Rural
Women Producers



URGENCI

Academic, Research and Private Organizations



Centre for Sustainable Food
Systems, Wilfried Laurier
University

John Hopkins Center
for a Livable Future



3 ideas



Annex 3. Urban-Rural Linkages Events

Expert Group Meeting in Montería, Colombia, 27-28 October 2015

Sarfaraz Alam
Maruxa Cardama
Antonella Contin
Rafael Forero
Muhammad Juma
Louis Roger Manga
Joaquín Pardo
Anaclaudia Rossbach
Remy Sietchiping
Chikako Takase

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Montería Communiqué



Montería Draft Report



First Working Session WUF9 Kuala Lumpur, 10 February 2018

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First Working Session WUF9 Report



Expert Group Meeting La Paz, 19-20 June 2018

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EGM Report



Key Messages for Policy Makers



La Paz Communiqué

Regional Awareness Workshop Nairobi, 18-19 September 2018

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The Regional Awareness Workshop took place within the United Nations
Development Account project


“Leaving No Place Behind: Strengthening Urban-Rural Linkages in Africa”

Outcome documents



Regional Awareness Workshop Report






In many countries, the link between rural and urban areas is an increasingly important area of focus for sustainable development plans. There is also general agreement that any development of urban, peri-urban and rural areas will be “integrated”. With increasing rates of urbanization, there is some urgency to understanding the nature of urban-rural linkages on the ground, and how the communities whose lives will be affected can be part of the development process.

The Guiding Principles outlined here are based on the premise that urban and rural areas should not be treated as separate entities when development plans, policies and strategies are made. Rather, the aim is to harness the potential that their combined synergy generates, so that everyone benefits from the circular flow along the urban-rural continuum. A Framework for Action is also provided that contains specific ways in which, for example, governance, environmental protection, communication, budgets, investment and planning could be approached in order to ensure all stakeholders are treated fairly and equally.

All stakeholders involved in sustainable development, urbanization, rural development, policy development, planning and integrated approaches to these issues will find important and useful information in this guide.



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