Drafting Your Diagnosis Paper (DP)

1. METHOD DESCRIPTION

Objective

The Diagnosis Paper is a document which is prepared prior to the drafting or revision of the policy framework into which climate change will be mainstreamed; in order to reach a conceptual agreement on its contents, and to plan the way forward for the rest of the mainstreaming process. It is the final output of Phase A: Feasibility and Diagnosis. The tool: **Drafting Your Diagnosis Paper TEMPLATE** guides the user through the development of their Diagnosis Paper, under the following structure:

1. Summary of urban climate change issues
2. Diagnosis of urban- and climate-related policies
3. Mainstreaming goals and objectives
4. Annotated outline of content to be mainstreamed into a national urban policy or set of policies
5. Preliminary strategy for the mainstreaming process

When to use

This activity supports the following tasks:

Phase/Element	Element I: Substantive Process	Element II: Resources and Capacities	Element III: Policies	Element IV: Institutions and Stakeholders
Phase A: Feasibility and Diagnosis	✓ Analyze good practices for M&E and draft an M&E Plan, including indicators for mainstreaming objectives and interim milestones ✓ Compile a Diagnosis Paper based on outputs of all tasks from Phase A of your tailored mainstreaming process.	✓ Assess availability and gaps in needed human, financial, informational, institutional and other resources for undertaking the mainstreaming process, and develop a Financing and Capacity Development Strategy	✓ In the Diagnosis Paper, undertake comparative analysis of above-mentioned set of country documents (and international frameworks), and identify urban policy document(s) to mainstream climate actions into (WHERE), / or propose using mainstreaming process to drive development of new NUP.	✓ Determine potential means and level of engagement of relevant institutions and key stakeholders based on capacities and interest (HOW, WHAT), and agree on Participation Strategy for mainstreaming process, including forming Reference Group (WHO)
Phase B: Formulation	✓ Prepare a detailed formulation Workplan for your Policy Proposal ✓ Conduct periodic monitoring and evaluation as per plan developed in Phase A ✓ Formulate Policy Proposal, including clear indication of what other documents need to be aligned, and estimation for budget needs and other resources to			

	implement the mainstreaming objectives			
Phase C: Implementation	✓ Continuously monitor process and outcomes of implementation, and create feedback mechanisms to inform future stages – ensure that M&E processes in place, e.g. regular meetings with reference group or other key stakeholders or progress measurement and analysis documents	✓ Create detailed Implementation Plan on support/ coordination/ oversight by Core Team & wider Reference Group		
Phase D: Monitoring and Evaluation	All tasks	All tasks	All tasks	All tasks

Spatial Set-up

- Depending on the group sizes. Can done be using paper or on white boards, manila paper, a wall or the floor, or with the aid of a computer (and projection onto a larger screen)

Group Size

- This tool can be used individually, with your Core Group, in small groups (e.g. 4 - 6 persons) or in a larger plenary setting together with key stakeholders (e.g. 20 - 30 persons)

Time

3-4 hours, or as needed

Materials

- **Drafting Your Diagnosis Paper TEMPLATE**
- Section 2 of the main Guide
- **Climate Change Issues to Actions TEMPLATE**
- **Framework Tasks TEMPLATE**
- **Good Urban Governance TEMPLATE**
- **Selecting Indicators TEMPLATE**
- **SWOT Analysis TEMPLATE**
- Large printed copies of the above tools and pens, AND/OR
- White boards/manila paper and pens or markers, OR
- Computer with projector

Instructions

The tool: **Drafting Your Diagnosis Paper TEMPLATE** guides you through the process of drafting your Diagnosis Paper, providing step-by-step instructions on how to formulate each of the sections of the Paper, as well as quick reference to the various tools that have been provided in support of each of the sections.

2. TEMPLATE

The **Diagnosis Paper** should outline the substantive content and process for mainstreaming policy formulation, including a monitoring and evaluation plan covering all phases and elements. It brings together all of the findings of **Phase A: Feasibility and Diagnosis**. This **TEMPLATE** provides step-by-step instructions to assist in drafting your Diagnosis Paper, with quick reference to the various tools that have been provided in support of each of the sections.

The Diagnosis Paper can be drafted under the following structure, according to the instructions and with support of the tools specified under the description for each of the section below.

1. Summary of urban climate change issues

Instruction:

Provide clear summaries of the **urban climate change issues** identified in your country. The process of issues identification can be supported by the tools specified below.

Tools

- **Framework Task Tool CHECKLIST, Phase A: Feasibility and Diagnosis / Element I: Substantive Process**:
  - ✓ Identify urban-related climate change issues, derive mainstreaming objectives & climate actions (WHAT).

  A summary of the task is also provided on p. 36 of the main Guide.

- **Climate Issues to Actions METHOD DESCRIPTION** provides step-by-step instructions on how to identify urban-related climate change issues in consultation with key urban stakeholders; and the tool: **Climate Issues to Actions INFORMATION SHEET** provides a list of typical climate change impacts and issues.

Table DP 2.1 below can be used to list the priority climate change issues and their summaries by urban sector, or in line with the policy document into which climate change will be mainstreamed.

Table DP 2.1. Summary of Priority Climate Change Issues

Urban Sector/Section of Policy Document	Climate Change Issue	Summary

2. Diagnosis of urban and climate-related policies

<u>Instruction:</u>

This diagnosis should be based on the analysis of your country's national and sub-national policies and other documents vis-à-vis climate responsive urban development, to identify entry points and priority needs for mainstreaming and to assess whether these are aligned to relevant international development frameworks. The tools below provide guidance for developing this section.

<u>Tools</u>

- **Framework Tasks Tool CHECKLIST**, **Phase A Feasibility and Diagnosis / Element III: Urban and Climate-related Policy Alignment**, under the tasks listed below. Summaries of these tasks are provided in pp. 39-41 of the main Guide.

  - ✓ Identify relevant national, sectoral & sub-national <u>urban-related</u> documents, including stage of National Urban Policy development, sources of financing & check if climate change mainstreamed

  - ✓ Identify relevant national, sectoral and sub-national <u>climate change related</u> policies, strategies and frameworks that have relevance in urban context, and check if urban-related concerns are sufficiently covered

  - ✓ Identify relevant sections in <u>international frameworks</u> linked to urban development and/or climate change with relevance for urban context

  - ✓ In Diagnosis Paper, undertake comparative analysis of above-mentioned set of country documents (and international frameworks) and identify urban policy document(s) to mainstream climate actions into (WHERE), / or propose using mainstreaming process to drive development of new NUP

- **SWOT Analysis METHOD DESCRIPTION and TEMPLATE,** STEP 5. Comparative Analysis of Urban- and Climate-related Policies and Legislation.

Table DP 2.2 below can be used to conduct mapping and inventory of urban and climate change policies, strategies, frameworks and legislation, as well as a comparative analysis of the two policy lines to assess alignment of their targets and indicators, and identify priorities and gaps.

Table DP 2.2. Comparative Analysis of Urban- and Climate-related Policies

Questions	Responses / Comments
What national-level urban-related policies, strategies and frameworks are in place?	
Which of their urban targets (short, medium and long-term) are of interest?	
Is there an existing National Urban Policy, or one currently under development?	
What urban legislation is of relevance?	
What national-level climate change-related policies, strategies and frameworks are in place?	

Which of their climate change targets are of interest?	
What climate-related legislation is of relevance?	
What urban or climate related policies are currently under development? Are there opportunities for harmonizing their processes?	
Are global urban and climate-related targets adequately covered in urban-related policy? What are the gaps?	
Based on all of the above identified factors, what are the climate-related gaps in urban policy?	

Based on all the above identified factors, what national-level urban-related policy should climate change be mainstreamed into? What are some of the specific climate change actions that should be mainstreamed?	
What are the gaps in legislation that could hinder urban climate-compatible urban development?	
Are other principles, such as participation and capacity development adequately addressed in urban policy?	
Are there opportunities for simultaneously mainstreaming cross-cutting issues (Gender, Youth, Human Rights, other)?	

3. Mainstreaming goals and objectives

<u>Instruction:</u> Using the tools specified below for guidance, derive **mainstreaming objectives** both from the climate change issues summarized in 1. Summary of Urban Climate Change Issues, and any priorities or gaps in urban and climate-related policies diagnosed in 2. Diagnosis of Urban and Climate-Related Policies.

The mainstreaming objectives can then be grouped into overall **policy goals** that fit into the structure of the urban policy into which they will be mainstreamed. For example, the mainstreaming objective "increased resilience of housing against climate-related hazards" might fall under the policy goal: "Improved urban housing for all" under the Housing chapter of a National Urban Policy.

<u>Tools:</u>

- **Framework Task Tool CHECKLIST, Phase A: Feasibility and Diagnosis / Element I: Substantive Process**:
    - ✓ Identify urban-related climate change issues, derive mainstreaming objectives & climate actions (WHAT).

    Under this task, a detailed explanation is provided on how to translate identified climate change issues into mainstreaming objectives. A shorter summary of the above task is also provided on p.36 of the main Guide.

- **Climate Change Issues to Actions METHOD DESCRIPTION** provides step-by-step instructions on how to translate climate change issues into mainstreaming objectives. The tool: **Climate Change Issues to Actions INFORMATION SHEET** contains an example of the Problem Tree and Objective Analysis, which similarly assists in deriving objectives from issues, while organizing both issues and objectives into a hierarchical structure based on their cause and effect relationships. These methods can also be applied towards deriving objectives from the gaps in urban- and climate-related policies, as identified in 2. Diagnosis of Urban and Climate-Related Policies.

Table DP 2.3 on the next page assists in organising the identified issues and objectives, as well as climate actions which are summarized in the next step.

4. Annotated outline of content to be mainstreamed into a national urban policy or set of policies

<u>Instruction:</u> The **climate-responsive content** to be mainstreamed into your national level urban-related policy/ies includes the climate issues and mainstreaming objectives as identified in 1. Summary of urban climate change issues and 3. Mainstreaming goals and objectives, as well as specific climate actions that will serve to achieve your mainstreaming goals. These should be incorporated into the structure of the policy document identified for mainstreaming. If a country wishes to develop a completely new, climate-responsive National Urban Policy, it is recommended to consider structuring it in line with the UN-Habitat guideline document: National Urban Policy: Framework for a Rapid Diagnostic.

<u>Tools</u>

- **Climate Change Issues to Actions METHOD DESCRIPTION** provides step-by-step instructions on how to identify appropriate climate actions that will serve to achieve your country's mainstreaming objectives. The tool: **Climate Change Issues to Actions INFORMATION SHEET** provides examples of climate actions to address various climate change issues in the Asia-Pacific context.

Table DP 2.3 below assists in articulating the climate responsive content for mainstreaming.

Table DP 2.3. Objectives and Climate Actions for Mainstreaming

Policy Goal / Urban Sector	Climate Issues	Mainstreaming Objectives	Climate Actions
(Example) Improved urban housing for all	*(Example)* Damage to housing not designed to withstand climate change impacts	*(Example)* Increased resilience of housing against climate-related hazards	*(Example)* - Adopt climate/disaster resilient design in housing construction. - Upgrade slums and informal settlements to build resilience to climate change impacts.

Policy Goal / Urban Sector	Climate Issues	Mainstreaming Objectives	Climate Actions

5. Preliminary strategy for the mainstreaming process

<u>Instruction:</u>

The strategy for the **mainstreaming process** should include the content listed below. Note that this is not a detailed strategy for the formulation of the climate-responsive urban-related policy alone (which will take the form of a Formulation Workplan), nor for the implementation of the policy (which will be in the form of an Implementation Plan), although it will provide a basis for these plans. Instead, it is a preliminary, overall strategy that roughly outlines the tasks that the Core Team will undertake during Phase B: Formulation through to Phase D: Evaluation of the mainstreaming process.

Recommended content for the strategy:

a. Tasks to undertake during Phase B: Formulation, Phase C: Implementation and Phase D: Evaluation
b. Capacity needs to be addressed for successful policy formulation, implementation and monitoring and evaluation
c. Proposed institution(s) responsible for all of the identified tasks, including drafting of the policy framework
d. Estimated timelines for all tasks, including logistical, administrative and capacity development activities
e. Estimated budget for mainstreaming
f. Framework and procedures for monitoring and evaluation of the mainstreaming process

<u>Tools</u>

- **Framework Tasks Tool** assists in creating the workplan for your mainstreaming process, where you will identify all the tasks that you need to undertake.
- **Framework Tasks Tool CHECKLIST, Phase D: Evaluation** provides recommended evaluation indicators for the mainstreaming process, in line with the Mainstreaming Framework presented in the main Guide. Summaries are provided on pp. 51-54 of the main Guide.
- **Good Urban Governance Tool** and **SWOT Analysis Tool** assist in a preliminary assessment of institutional capacity. These tools can be used to articulate the capacity gaps and needs to be addressed for successful mainstreaming and monitoring and evaluation, as well as specific actions to be taken to address these needs.

Tables DP 2.4-6 below support the following activities:

➢ Table DP 2.4: A workplan template which includes the timelines, stakeholders responsible for each of the mainstreaming tasks identified using the tool: **Framework Tasks Tool TEMPLATE**, an estimated budget, and a preliminary set of process indicators. The capacity development activities identified using the **Good Urban Governance Tool** and **SWOT Analysis Tool** should also be incorporated into this timeline.
➢ Table DP 2.5: Assists in determining the monitoring and evaluation procedures, including parties responsible for monitoring, budgetary needs, data source, data collection methods and frequency, evaluation periods, reporting practices and feedback mechanisms.
➢ Table DP 2.6: A sample process monitoring and evaluation framework, including the indicators presented in **Phase D: Evaluation**. Note that this framework is not for the monitoring and evaluation of the individual climate actions, but for the mainstreaming process itself. Thorough descriptions of each of the criteria in the framework are available under Phase D: Evaluation of the tool: **Framework Tasks Tool CHECKLIST**.

Table DP 2.4. Workplan (include Capacity Development activities)

MAINSTREAMING TASK	RESPONSIBLE INSTITUTIONS AND STAKEHOLDERS	ESTIMATED BUDGET	MONITORING INDICATORS	Year 1										Year 2					
				M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J
A1.1:																			
A1.2:																			
A1.3:																			
MAINSTREAMING TASK			MONITORING INDICATORS	Year 1										Year 2					

	RESPONSIBLE INSTITUTIONS AND STAKEHOLDERS	ESTIMATED BUDGET		M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J

Table DP 2.5. Monitoring and Evaluation Procedures

M&E Considerations	Comments
Parties responsible for monitoring and evaluation	
Budgetary needs for M&E	
Data sharing responsibilities (e.g. Core Team and Reference Group members?)	
Data collection frequency	
Data collection methods	
Interim and final evaluation periods	
Reporting practices (e.g. annual report, quarterly brief)	
Feedback mechanisms	

Table DP 2.6 Process Monitoring and Evaluation Framework

(Sample) Monitoring and Evaluation Indicators	Successful	Partially Successful	Unsuccessful	Comments
Element I: Substantive Process				
The mainstreaming process has been effective and inclusive				
The pol icy proposal has been sanctioned/ adopted or agreed by the respective oversight / decision-making bodies				
The climate-responsive national urban policy has been operationalized with follow-on policies, legislation, plans etc.				
The mainstreamed/ new national urban policy has enabled implementation of urban-related climate actions				
Element II: Resource and Capacity Assessment/Development				
Capacity building activities had the desired impact and reached the right people				
The climate-responsive national urban policy has been aligned with local, national and global financing opportunities				
Element III: Urban- and Climate-Related Policy Alignment				
The mainstreaming process of national urban policy/ies fully considered existing sectoral and sub-national policies and legislation				
The climate-mainstreamed urban policy/ies have been aligned with targets, indicators, monitoring & review of international frameworks				
Element IV: Institutions and Stakeholders				
Institutional roles, responsibilities and coordination is clear, and process is functioning				
All key stakeholders were meaningfully involved throughout, their resources were effectively incorporated and their needs met				