

## Mainstreaming Climate Change into NUPs

### GUIDANCE NOTE

The purpose of this document is to provide some initial guidance on where to begin with the framework and tools identified in the main guide (Climate Change and National Urban Policies in Asia and the Pacific), which the user is recommended to read first before embarking on the process. As discussed in the guide, every country will be at a different phase in the development of national urban policy and in making this policy climate sensitive. The approach chosen here takes note of this reality and so there is no set order in which to apply the tools, neither is there a requirement to use all of them. For this reason, this document aims to consider some common scenarios and points at which to start the process, assuming that some form of diagnosis paper will be compiled as the foundation of the policy development or enhancement and its implementation.

An overview and summary of each tool is presented in the box below (also found in the guide under Section III). These are supplemented by a series of [Country Case Studies](#) which present the process and current state of mainstreaming in six different countries, along with earlier tools and publications including [National Urban Policies: A Guiding Framework](#) and [National Urban Policy: Framework for a Rapid Diagnostic](#). These are helpful references for those starting out on the broader NUP process that wish to know more.

**Box 1: Overview and summary of mainstreaming tools.** *Note: the two letter codes correspond to tables, boxes and figure captions within each tool for easy reference.*

**Framework Tasks (TT)** is a reference tool to be used throughout the process with more detailed explanation of each task in the framework, guiding questions and other information sources. Helps to create a process timeline with individual tasks that can be customised according to country-context.

**Climate Change Issues to Actions (IA)** helps to identify climate change issues that can be converted into mainstreaming objectives and potential policy solutions against issues identified.

**Climate Change Concepts (CC)** summarises and explains main terminology linked to climate change, disaster risk reduction and management and provides reference to further materials.

**Climate Finance (CF)** outlines international and domestic sources of and mechanisms for financing climate action and how these can be linked to urban related climate actions.

**Drafting Your Diagnosis Paper (DP)** assists in preparing the structure and content of the Diagnosis Paper and eventually the policy proposal.

**Good Urban Governance (UG)** characterises the different dimensions of good urban governance and how it can be brought into the formulation of the urban framework policy. Together with the SWOT Analysis tool can provide an initial assessment of institutional capacity.

**Making the Case (MC)** assists in identifying entry points for mainstreaming, the drivers, motivation for climate change mainstreaming process.

**International Frameworks (IF)** provides an introduction to the key international frameworks and how they link to urban climate issues, particularly the targets and indicators, review and reporting mechanisms and capacity development or finance linkages.

**Selecting Indicators (SI)** assists with defining indicators for the mainstreaming process and identifying and formulating effective mainstreaming objectives and climate actions for the policy itself.

**Stakeholder Analysis (SA)** helps to identify important government actors and non-government stakeholders to engage considering why each is needed to make it a success, why they would be interested and what kind of support they need to participate and successfully implement the policy.

**SWOT (SW)** helps to assess the availability and gaps in human, financial, informational, institutional and other resources, as well as capacity constraints and evaluating existing policies and documents vis a vis climate responsive urban development.

With the **Framework Tasks Tool** forming the overarching component of the mainstreaming process, it is possible to visualise the linkages between each tool and their respective inputs and outputs towards **Drafting the Diagnosis Paper** in the flow chart shown in Figure 1.

The **Climate Change Concepts Tool** can be a useful starting point for those unfamiliar with some of the terminology, key impacts and those most affected by climate change. The **Making the Case Tool** assists in identifying entry points for mainstreaming, the drivers, motivation for the climate change mainstreaming process. From this, at least two distinct approaches can be identified to beginning the process.

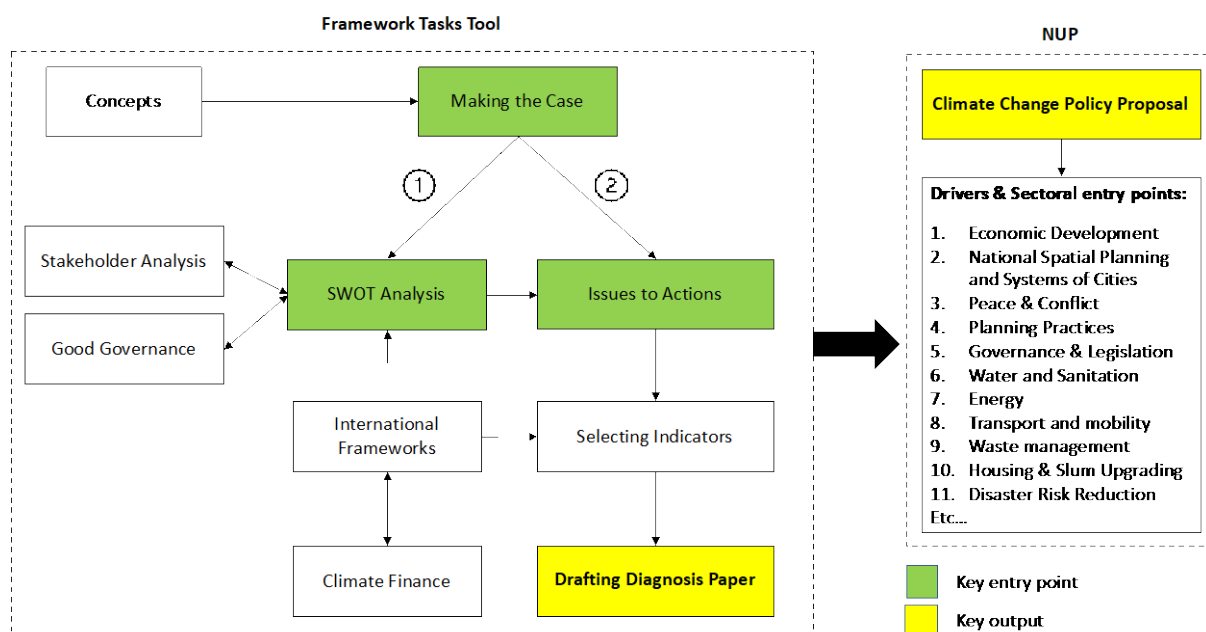
① Firstly, and more strategically, is it to start by assessing the climate or urban policies, agreements and actions already in place through the **SWOT Analysis Tool**, helping to identify the important gaps and opportunities for actions to be examined more closely with the **Issues to Actions Tool**. The **Stakeholder Analysis** and **Good Governance Tools** can provide important inputs as well as outputs here by considering the institutional setup, structures and key stakeholders which may present opportunities or barriers towards collaboration and policy implementation.

② Secondly, taking a more bottom-up and open-ended approach is to begin with the **Issues to Actions Tool** from which will assist with identifying climate change issues known on the ground through practical experiences or existing vulnerability assessments, which can then be turned into actions and integrated into existing commitments and policies.

In either case, objectives and actions identified using the Issues and Actions Tool must be measurable with baselines and targets in order to ensure progress is made towards meeting them. The **Selecting Indicators Tool** is therefore important to consider at this stage and should link to **International Frameworks** where possible as these provide recognised monitoring and reporting mechanisms at the country-level, with the **Climate Finance Tool** helping to identify realistic national and international funding options for the actions.

Once the diagnosis paper is built, this can feed directly into the **Climate Change Policy Proposal**, its implementation and mainstreaming across different sectors within the NUP.

**Figure 1: Flowchart of the key mainstreaming tools and their linkages.**



Certain tools will provide better entry points than others depending on your country's unique scenario, and therefore the approaches described above should not be considered definitive. Whilst not a comprehensive list, the examples below describe some different scenarios or situations which your country may fall under, especially where some existing climate or urban legislation and actions already exist.

1. **An existing National Urban Policy is in place but is undergoing revision or updating** (c.f. Philippines Country Case Study):
  - Reviewing existing national and international climate change policies

- Considering city contexts and vertical integration of concerns
  - Encouraging dialogue and exchanges between stakeholders
  - Challenging siloes and taking a system rather than a sectoral approach
    - **Tools to use as entry points:** Making the Case, SWOT Analysis, Stakeholder Analysis
2. **There are urban-related policy documents but no overarching framework to link them together** (c.f. Bangladesh Country Case Study):
- Reviewing policy and legislation and conducting analysis of stakeholders
  - Importance of capacity building and good governance to improve coordination and integration and clearly define responsibilities
  - Climate change can provide an important link and motivation among stakeholders for a comprehensive policy
    - **Tools to use as entry points:** Making the Case, SWOT Analysis, Stakeholder Analysis, Good Governance
3. **Local or city-level climate actions are ongoing but with limited or no integration into National Urban Policy** (c.f. Myanmar, Solomon Islands Country Case Studies):
- Local level actions such as vulnerability assessments can inform and start the mainstreaming process directly, providing a sense of the issues on the ground which can be incorporated into resilience plans and scaled-up in national policy
  - Importance of capacity building of officials and integrating sectoral policies into NUP that can assist with vertical integration
    - **Tools to use as entry points:** Making the Case, Issues to Actions, SWOT Analysis, Stakeholder Analysis
4. **There is a strong national level climate focus but little local level action and integration into urban policy** (c.f. Sri Lanka, Vietnam Country Case Studies):
- Capitalising on existing stakeholders and mechanisms for cooperation across sectors
  - Building the understanding and appreciation of climate impacts on the urban sector through capacity building
  - Considering existing good practices/initiatives/plans/policies at the local level and how these could be scaled-up with reference to international frameworks to increase buy-in
    - **Tools to use as entry points:** Making the Case, Stakeholder Analysis, Good Governance, International Frameworks

Where an NUP is not yet developed, climate change may become one of the drivers to push for one, with the UN-Habitat published **National Urban Policy: A Guiding Framework** and **National Urban Policy: Framework for a Rapid Diagnostic** guides providing useful references to begin the process.

The tools are also aligned with a typical policy formulation process shown in the Mainstreaming Framework Table introduced in the guide. This may be a starting point to a more sequential approach by identifying the current stage of policy development and utilising the specific tools that assist in completing each task for each element. Table 1 below provides an overview of the tools linked to each stage. Please refer to the **Framework Tasks Tool** for more information on this process.

Table 1: Overview of the Mainstreaming Framework with each tool.

Phase/Element	Element I: Substantive Process	Element II: Resources and Capacities	Element III: Policies	Element IV: Institutions and Stakeholders
<b>Phase A: Feasibility and Diagnosis</b>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Making the Case Tool</li> <li>✓ Climate Issues to Actions Tool</li> <li>✓ Drafting Your Diagnosis Paper Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ SWOT Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ International Frameworks Tool</li> <li>✓ Drafting Your Diagnosis Paper Tool</li> <li>✓ SWOT Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Stakeholder Analysis Tool</li> <li>✓ Good Urban Governance Tool</li> <li>✓ Drafting Your Diagnosis Paper Tool</li> </ul>
<b>Phase B: Formulation</b>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Drafting Your Diagnosis Paper Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ SWOT Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Drafting your Diagnosis Paper Tool</li> <li>✓ Selecting Indicators Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Stakeholder Analysis Tool</li> </ul>
<b>Phase C: Implementation</b>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Selecting Indicators Tool</li> <li>✓ Climate Finance Tool</li> <li>✓ SWOT Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Stakeholder Analysis Tool</li> </ul>
<b>Phase D: Monitoring and Evaluation</b>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Drafting Your Diagnosis Paper Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Drafting Your Diagnosis Paper Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Drafting Your Diagnosis Paper Tool</li> </ul>	<ul style="list-style-type: none"> <li>✓ Framework Tasks Tool</li> <li>✓ Drafting Your Diagnosis Paper Tool</li> </ul>