



GUIDE



METHOD



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CHECKLIST



WORKSHEET



# CLIMATE CHANGE AND NATIONAL URBAN POLICIES IN ASIA AND THE PACIFIC

A REGIONAL GUIDE FOR INTEGRATING CLIMATE CHANGE  
CONCERNS INTO URBAN-RELATED POLICY, LEGISLATIVE,  
FINANCIAL AND INSTITUTIONAL FRAMEWORKS

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## **ACKNOWLEDGEMENTS**

**Publication Coordinators:** Natalja Wehmer (UN ESCAP), Bernhard Barth (UN-Habitat)

**Lead Author:** Hillary Taylor

**Key Contributors:** Jane Reid, Tomke Rinschede, Dominic Sett, Liam Fee, Laida Cea, Cerin Kizhakkethottam

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## Background and Purpose of the Guide

Urbanization and Climate Change are two of the defining megatrends of our time. More than half of today's global population lives in urban areas, and urbanisation projections indicate that this trend is set to continue over the next decades. Cities in Asia and the Pacific are at the heart of that global urban growth. Today they are home to 2.1 billion people and in less than two decades they are estimated to grow by another one billion<sup>1</sup>. Cities significantly contribute to and are greatly affected by climate change. While they occupy only three per cent of the earth's surface, they are responsible for 78 per cent of global energy consumption, and the production of 70 per cent of energy related greenhouse gas emissions<sup>2</sup>. At the same time cities - especially those in the Asia Pacific region - are becoming increasingly vulnerable to natural disasters and the impacts of climate change<sup>3</sup>. The continuous trend of rapid - and often unplanned - urbanization places enormous pressure on urban infrastructure, services, livelihoods and the environment with poor and disadvantaged communities most exposed to climate change impacts. In cities of Asia and the Pacific, appropriate governance and policy directions are yet to be put in place to effectively address the challenges and opportunities of the urbanisation and climate change nexus.

As enormous as the challenges are, they also present a historic opportunity to promote more sustainable and inclusive forms of urbanization with the aim of reducing urban vulnerabilities and building resilient and low-carbon cities. As the Intergovernmental Panel on Climate Change (IPCC)'s Fifth Assessment Report highlighted, "the next two decades present a window of opportunity for [climate action] in urban areas, as a large portion of the world's urban areas will be developed during this period."<sup>4</sup> However, cities cannot do this alone. Coordinated, nationwide urban development frameworks are needed, through which national governments - with input from the local and regional levels - can set the agenda for urbanization in their country.

Many climate actions for mitigation and adaptation need to be implemented "on the ground" - at the household, neighbourhood, town, city or metropolitan scale. However, the National Government also has important functions in creating an enabling environment for climate responsive urban development - including establishing national-level policies and plans, coupled with supportive legislation and financing mechanisms, and managing common goods. For example, access to a significant part of needed

resources and assistance in ensuring the local level has all needed capacities is influenced by national (and/or provincial) policies related to economic development, energy generation and distribution, health care, education and other services. Moreover, managing the territory of cities and their hinterlands is the joint responsibility of subnational and national governments. Climate action within countries therefore needs to include an emphasis on human settlements in national mitigation and adaptation strategies, linking local and national planning, and national government support for local adaptation.

The mainstreaming of climate change into National Urban Policies (NUPs), as well as into other national-level urban-related framework policies presents a good opportunity to systemically integrate sustainability, climate change and resilience into the national urbanisation agenda, and to harmonize the urbanization agenda with other national policies.

A new momentum for concerted, transformative change for the urbanisation and climate change nexus has also been created in 2015 and 2016 through the adoption of new international development frameworks, in particular the 2030 Agenda for Sustainable Development<sup>5</sup> and its 17 Sustainable Development Goals (SDGs)<sup>6</sup>, the Paris Agreement<sup>7</sup> on Climate Change, the Sendai Framework for Disaster Risk Reduction<sup>8</sup>, the Addis Ababa Action Agenda on Financing for Development<sup>9</sup>, and the New Urban Agenda (NUA)<sup>10</sup> of the Third United Nations Conference on Housing and Sustainable Urban Development (Habitat III). Aligning urban- and climate-related policy targets and indicators on the international and national levels and supporting efforts to tackle climate change issues in towns and cities through the guidance of national-level policy, represents a crucial input to achieving above-mentioned international frameworks.

One approach to a coordinated and overarching framework that is strongly advocated for in the New Urban Agenda is the development of a National Urban Policy (NUP)<sup>11</sup>. Some countries in Asia and the Pacific are now explicitly embarking on the development of an NUP, while others are taking the route of strengthening coordination between various existing national-level urban-related framework policies. Both approaches present a good opportunity to systemically integrate sustainability and resilience concerns into national urban development agendas - including the opportunity to mainstream climate change issues.

<sup>1</sup> United Nations Department of Economic and Social Affairs (UNDESA); and Economic and Social Commission for Asia and the Pacific (UNESCAP) (2017)

<sup>2</sup> UN-Habitat (2017b). This number focuses primarily on GHG emissions from energy use within the city boundary, through direct combustion (scope 1) or the consumption of grid-supplied electricity, heating and/or cooling (scope 2), as well as the GHG emissions from the treatment of waste. The vitality of cities, however, also gives rise to the production of significant quantities of GHG emissions outside their boundaries (scope 3). Meanwhile, C40 Cities (2018) estimated through an assessment of 79 of its member cities that the contribution of cities to GHG emissions was 60 percent higher when the 'consumption emissions' for the food, clothing, electronics, air travel, construction materials, and so on

consumed by residents but produced outside city limits are included.

<sup>3</sup> Germanwatch (2018)

<sup>4</sup> United Nations Framework Convention on Climate Change (UNFCCC) (2018)

<sup>5</sup> United Nations (2015d)

<sup>6</sup> Ibid.

<sup>7</sup> United Nations Framework Convention on Climate Change (UNFCCC) (2015)

<sup>8</sup> United Nations Office for Disaster Risk Reduction (UNISDR) (2014)

<sup>9</sup> United Nations (2015b)

<sup>10</sup> United Nations (2016)

<sup>11</sup> Ibid., p.17, Article 89.

This Guide has been developed as a call for action to mainstream climate change into national-level urban-related policy frameworks in Asia and the Pacific. Applying a flexible and non-prescriptive approach, national urban ministries and other urban stakeholders can apply suggested steps for mainstreaming based on their respective circumstances, under a Framework composed of “Phases” and “Elements” that serve as the building blocks of the mainstreaming process. The result of the mainstreaming process will be the formulation, adoption and implementation of a coherent policy framework with climate change concerns integrated into relevant urban policy elements (e.g. key principles, sectoral chapters, action areas etc.), depending

on each country’s unique context. The Guide has primarily been developed for national level government officers that aim to mainstream climate change issues into their existing National Urban Policy. However, it can also be used to develop a new, climate-responsive National Urban Policy (especially in conjunction with the UN-Habitat publication “National Urban Policy: A Guiding Framework”). Governments may also find this Guide useful to mainstream climate change issues into other national-level urban-related policies, such as national spatial frameworks and sectoral policies etc., which collectively may provide a framework for integrated urban development, thereby implicitly serving the function of a National Urban Policy.

## Using the Guide and Related Tools and References

The Guide has two main sections. **Section 1** is an **Introduction** of the context, including urbanisation and climate change trends, mainstreaming, governance frameworks, and global development frameworks.

**Section 2** presents the **Framework** for mainstreaming, which takes the form of a matrix with four mainstreaming **Phases** of A: Feasibility and Diagnostics, B: Formulation, C: Implementation, and D: Evaluation, and four mainstreaming **Elements** of 1) Substantive process, 2) Resource and capacity assessment and development, 3) Urban and climate related policy alignment, and 4) Institutions and stakeholders. The Framework can be seen at one glance in the **Overview Table** (Table 1), presented as a two-page spread in the middle of the Guide, while each Framework **Task** is individually introduced and explained in Section 2.

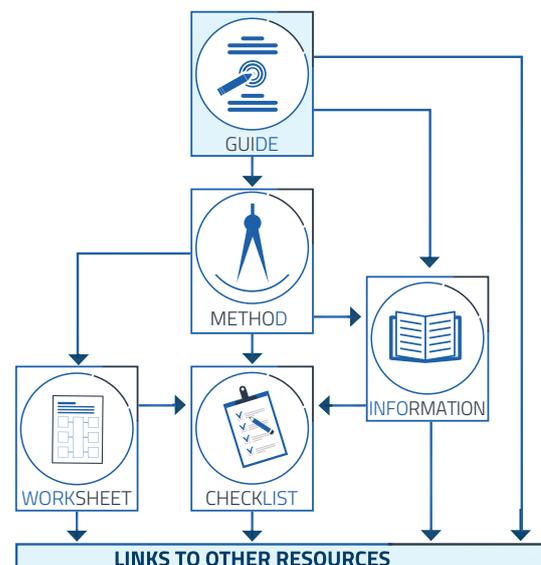
The Guide was conceptualised to be used in conjunction with a set of **Tools** and **References** (see **Figure 1**). These consist of additional information and training materials specifically prepared to accompany the guide or refer to existing resources so as not to repeat guidance provided elsewhere. The reader can pick and choose among the Tools and References as needed. The main Tool to be used alongside the Framework’s Overview Table is the Framework **Tasks** Tool as it discusses each Framework Task in detail and directs the user to the other tools for training and application, and to further references.

The entire set consisting of the Guide, Tools and References can be accessed at: [http://www.fukuoka.unhabitat.org/cc\\_nup](http://www.fukuoka.unhabitat.org/cc_nup), where certain information would periodically be updated or added.

- **Tools** are divided into ‘**Method Descriptions**’ (that explain the objective of a tool and how to use it) with corresponding ‘**Work Sheets**’ and ‘**Checklists**’ to go through a particular method. They give assistance on how

to implement the various Tasks of the **Framework**. Tools further include ‘**Information**’ sheets with more detailed explanations on various aspects, such as for example ‘international development frameworks’ or ‘climate finance’ and which also include the country case studies from pilot countries under the project (see Box 2 below). The tools can be used for individual learning or for collective workshops to take place as part of mainstreaming processes. Throughout the Guide, the reader is directed towards specific tools as they link to the topics and steps discussed. A tool is indicated in the Guide with little icons like this: (which for digital versions of the Guide and Tools are hyperlinked). A short summary of each of the Tools is provided in Section 3 of this **Guide**.

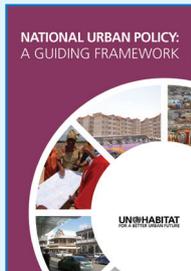
- **References** refer to existing resources, such as **publications** and **web portals** of UN-Habitat, UN ESCAP and other organizations for which the Guide and the Tools provide the web links throughout.



// Figure 1: Overview and Relationship: Guide, Tools and References

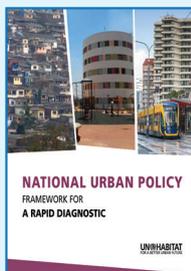
## Box 1: Publications that Supplement this Guide (main References)

// This Guide and its related Tools have been developed to be used in conjunction with the below-listed UN-Habitat and UNESCAP publications, which are referred to repeatedly to assist in the understanding of the multiple components of the mainstreaming Framework. To further support countries that wish to develop a climate-responsive National Urban Policy, the Guide's mainstreaming Framework has been aligned with the NUP process of the first two publications below.



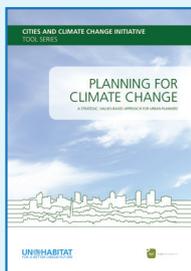
### National Urban Policy: A Guiding Framework

While recognizing that all policy processes are unique and context-specific, this publication provides urban stakeholders with a Guiding Framework of proceeding through the NUP process. This Guiding Framework is designed to outline key elements and instruments of the policy process through five NUP phases: 1) feasibility, 2) diagnosis, 3) formulation, 4) implementation, and 5) monitoring and evaluation.



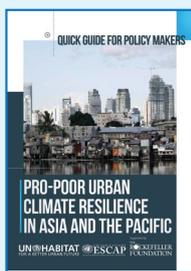
### National Urban Policy Framework for Rapid Diagnostics

This publication zooms into 'phase 2) diagnosis' as defined in above publication. Diagnosis is a crucial step that informs and engages policy and decision-makers, and provides them with the evidence needed to design choices and support critical decisions in the NUP formulation process. Formulating a NUP requires a detailed stocktaking of relevant issues, challenges and opportunities; the NUP diagnostic is therefore an umbrella activity that gathers necessary information to deliver on NUP objectives and other related principles.



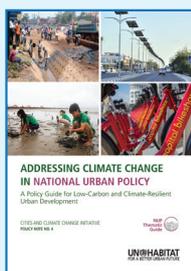
### Planning for Climate Change: Guide – A strategic, values-based approach for urban planners

This Guide was developed for city planners to better assess and take action on climate change at the local level. It is targeted to the needs of planners and allied professionals in low and middle-income countries where the challenges of planning for climate change are particularly high. The guide's strategic, values-based planning framework promotes a participatory planning process that integrates local participation and good decision-making, provides practical tools for addressing climate change through different urban planning processes, and supports the "mainstreaming" of climate actions into other local government policy instruments.



### Quick Guide for Policy Makers: Pro-Poor Urban Climate Resilience in Asia and the Pacific

This Guide focuses on the need to enhance understanding of the region's key urban stakeholders on climate change, discusses how it affects efforts to realize sustainable urban development, and explores what actions can be taken to synergize continued commitments to poverty reduction alongside urban climate resilience. Through examples which span the region, the Guide illustrates pro-poor approaches to urban climate resilience that are holistic, flexible and participatory and that can be effective tools to foster inclusive and sustainable development.



### Addressing Climate Change in National Urban Policy: A Policy Guide for Low-Carbon and Climate-Resilient Urban Development

This Guide for a global audience makes recommendations on how to mainstream climate change considerations into NUP. It primarily addresses decision-makers and stakeholders engaged in formulating, implementing, monitoring and evaluating a NUP. It offers advice on how a NUP, as an "umbrella policy" for urban areas can address climate change, and empowers local authorities as key actors in that effort.

// The main publications repeatedly referred to in this Guide are highlighted in **Box 1**

The mainstreaming Framework presented in this Guide was developed as the outcome of the project: **“Strengthening Capacities of Member States in the Asian and Pacific Region to Mainstream Climate Change Concerns into National Urban-related Policies”** funded by the United Nations Development Account and implemented jointly by UN-Habitat, UNESCAP and UN Environment, which takes up the issue of mainstreaming climate actions into national urban-related policies in the Asia Pacific region with a strong focus on integrating regional and global processes. The project has been implementing country-specific mainstreaming activities as pilot projects in the following

countries: Bangladesh, the Philippines, Solomon Islands, Sri Lanka and Viet Nam. It also has supported ongoing integrated urbanization and climate change activities in Myanmar. The country experiences are summarized in **Box 2** below and are presented in more detail in separate country case studies that form part of the Guide’s related Tools and are available online here: [http://www.fukuoka.unhabitat.org/cc\\_nup](http://www.fukuoka.unhabitat.org/cc_nup). The mainstreaming Framework presented in Section 2 is the outcome of distilled and abstracted learnings from these experiences, applicable to different national urban contexts across Asia and the Pacific.

## Box 2: Mainstreaming Pilot Projects in countries of the Asian and Pacific Region

// The six pilot countries under the project “Strengthening Capacities of Member States in the Asian and Pacific Region to Mainstream Climate Change Concerns into National Urban-related Policies” have taken different approaches to mainstreaming and are at different stages of their respective mainstreaming processes. This Box provides a summary. A more detailed overview of activities and results in each country is provided in the country case studies ([http://www.fukuoka.unhabitat.org/cc\\_nup](http://www.fukuoka.unhabitat.org/cc_nup)).

**Bangladesh:** A comprehensive review of urban and climate change linked policies and legislation has been completed with support of the Department of Urban and Regional Planning (URP) and the Bangladesh University of Engineering and Technology (BUET). 32 stakeholder ministries and government agencies were identified and 42 different policies, plans, government orders, and rules have been reviewed. A draft capacity gap analysis of the human, technical and financial capacities of institutions has been completed. In addition, as a request from the government, a review of NGO activity in the urban sector (considering the very active civil society in Bangladesh) and a sub-guide for local authorities has been developed.

**Solomon Islands:** The Government of the Solomon Islands has developed a National Urban Policy. UN-Habitat has provided technical advisory services through the Project to strengthen the Climate Change dimension of this policy framework. A policy and legislative review was completed, a National Urban Profile was developed, and the Solomon Islands National Urban Conference held.

**Sri Lanka:** A literature review and an assessment of existing policy documents were completed with support from the Institute of Policy Studies (IPS) Sri Lanka. Guidelines and recommendations which seek to strengthen the capacity of Sri Lanka’s National Physical Planning Department were

developed based on the study. Additionally, the review of the National Physical Planning Policy and Plan (NPPandP) was conducted. The NPPandP was identified as the best entry point for climate change mainstreaming; and it is currently being updated to integrate climate change considerations and dimensions in line with recommendations of the study.

**Myanmar:** Based on the work previously supported by UN-Habitat: the Myanmar Climate Change Strategy and Action Plan (MCCSAP) 2016-2030 and the Rapid Urban Diagnostics, the development of the National Urban Policy with emphasis on climate change has been supported by the Project.

**Philippines:** The mainstreaming of the urban dimensions of climate change into the 2017-2023 National Urban Development and Housing Framework (NUDHF) has been completed. Through the process of mainstreaming climate change into the NUDHF, the Housing and Land Use Regulatory Board (HLURB), as well as 14 other national government agencies which are part of the technical working group were assisted and provided capacity building through a ‘learning by doing’ process. Local authorities are currently being assisted in implementing/applying the climate change considerations highlighted in the NUDHF in the formulation of their local climate action plans and integrated development plans.

**Viet Nam:** The National Urban Development Strategy (NUDS) is being developed by the Ministry of Construction, and the Project has provided support and advisory services to the government and other stakeholders towards on-going efforts in mainstreaming climate change into the NUDS. Moreover, together with OECD, the project has contributed to a policy paper on: National Urban Policy Review of Viet Nam, published in February 2018. The study aims to provide useful inputs to the preparation process of the Law on Urban Development Management, especially on achieving national environmental and green growth goals with practical policy recommendations.

## Section 1: Context

### 1.1 URBANISATION AND CLIMATE CHANGE IN ASIA AND THE PACIFIC

#### Urban Climate Change Vulnerabilities

Over the past decades, the Asia Pacific region has experienced urbanization at an unprecedented pace and scale. More than half of the world's estimated four billion urban dwellers now live in Asia and the Pacific - with urban population numbers in the region expected to rise to 2.7 billion people by 2030<sup>12</sup>. Currently, 15 per cent of the region's urbanites live in 19 megacities (with 10 million inhabitants or more) and by 2030, the region will host 25 such megacities<sup>13</sup>. However, most of the region's urban population lives in secondary cities, and this is where population growth is most rapidly occurring. Also, while developed countries of the region already have a high percentage of their population living in cities and their annual urbanization rates have slowed or halted, most rapid urbanization is now taking place in less developed countries. Most urban population growth can therefore be expected in places with very limited resources to manage it in inclusive and sustainable ways.

Meanwhile, the Asia Pacific region is inherently exposed to climate-related natural disasters. The climate in the region has been changing - temperatures have been higher on average, and rainfall has been more variable and extreme. The number of urban residents facing high or extreme multiple hazards in the region is currently around 742 million; and could reach nearly 1 billion by 2030<sup>14</sup>. According to the Global Climate Risk Index, which analyses to what extent countries have been affected by the impacts of weather-related loss events (cyclones, storms, floods, heat waves, droughts etc.), Fiji, Sri Lanka, Vietnam and India are among the top ten countries globally that were most vulnerable to climate-related disasters in 2016<sup>15</sup>. Meanwhile, the Long-Term Climate Risk Index that looks at annual averages listed Myanmar, Philippines, Bangladesh, Pakistan, Vietnam and Thailand in the ten most affected countries from 1997 to 2016<sup>16</sup>.

The region is further projected to face a wide range of climate change-related impacts, including warming, increased monsoon activity, rainfall variability, as well as more frequent and more intense cyclones and droughts in the coming decades<sup>17</sup>. More than half of the region's urban population currently lives in low-lying coastal areas, and 119 urban agglomerations out of a total of 305 are located in flood-risk coastal zones and are susceptible to sea-level rise<sup>18</sup>. The most far-reaching climate change

impact is likely to be water-related (i.e. flooding and sea-level rise)<sup>19</sup>. Climate change will also exacerbate the urban heat island effect, with implications for energy demand, air quality, morbidity and mortality. Increased heat and drought will also have significant impacts in Central Asian cities and towns, causing water shortages and affecting hydropower outputs<sup>20</sup>.

Many secondary cities act as local economic growth centres, markets and processing centres for rural products, and bridges between rural areas and large urban centres. Yet most of them lack basic infrastructure and services, as well as urban governance capacities. Most have not developed global or even national linkages and are struggling to accommodate growing populations, lag in job creation and have weak revenue bases<sup>21</sup>. This reduces their adaptive capacity to cope with climate change impacts.

As developing countries in Asia Pacific continue to move toward middle-income status, urbanization processes in countries such as China have had a great impact on reducing the percentage of people living in poverty<sup>22</sup>. However, at the same time, absolute numbers of people living in poverty in the region's cities have continued to rise<sup>23</sup>. Poor people in cities may have higher incomes than in rural areas, but these may be unstable and inadequate sources of livelihood. The urban poor often do not own the land they occupy or have a formal legal identity needed to possess housing registrations and building permits. Environmental health, especially for women and children, can significantly impact their livelihoods and well-being<sup>24</sup>. These factors can make recovering from risks and shocks, both natural and man-made, a challenge.

This rapid, inequitable and unplanned urban growth in many of the region's developing countries has further led to the emergence of highly vulnerable urban communities, particularly those living in informal settlements. Between 2000 and 2014, the proportion of the region's urban populations living in slums has reduced from 40 percent to 27 percent<sup>25</sup>. This still means that around 560 million people in the Asia-Pacific region live in slums, typically in poor-quality housing with insecure residential status, built on marginal land such as flood plains or erosion prone slopes, and with inadequate access to safe water

<sup>12</sup> UN ESCAP (2016)

<sup>13</sup> *Ibid.*

<sup>14</sup> UN ESCAP (2017)

<sup>15</sup> Germanwatch (2018)

<sup>16</sup> *Ibid.*

<sup>17</sup> UN ESCAP and UN-Habitat (2015), p.136

<sup>18</sup> *Ibid.*

<sup>19</sup> *Ibid.*, p.134

<sup>20</sup> *Ibid.*, p.136

<sup>21</sup> UN-Habitat and United Nations Development Programme (UNDP) (2013).

<sup>22</sup> UN-Habitat and UNDP (2013)

<sup>23</sup> Asian Development Bank (ADB) (2012)

<sup>24</sup> UN-Habitat and UNDP (2013)

<sup>25</sup> UNESCAP Statistics Division (2018)

and sanitation<sup>26</sup>. Given the deprived living conditions in slum or squatter settlements, the urban poor are more susceptible to climate-related risks, which have increased the likelihood of more frequent and severe flooding, compounded by non-climate factors such as land subsidence and poor drainage.

Moreover, the Fifth Assessment Report by the Intergovernmental Panel on Climate Change states that urban areas “account for between 71% and 76% of CO<sub>2</sub> emissions from global final energy use (medium evidence, medium agreement)”<sup>27</sup>. Cities in the Asia Pacific region are projected to contribute more than half the rise in global greenhouse gas emissions over the next 20 years if no action is taken<sup>28</sup>. As major contributors to

greenhouse gas emissions, many opportunities exist to lower GHG emissions in cities, starting from the way in which cities are planned and designed. Compact or nodal cities with a variety of public transport and mixed-use neighbourhoods can save significant amounts of energy in the transport sector, and the way in which buildings are designed, constructed and operated is also critical for low-carbon development<sup>29</sup>. Low-emissions development measures can also have co-benefits in achieving urban resilience and climate change adaptation, and vice versa. For example, land use regulation to prevent building on dangerous land, building codes, and resilient infrastructure can both serve to reduce greenhouse gas emissions, and increase the resilience of urban areas vis-à-vis climate change impacts.

### Box 3: Climate Change Related Concepts Explained

// The process of interventions to reduce the sources or enhance the sinks of greenhouse gases to prevent future climate change and its adverse impacts<sup>30</sup> is referred to as **climate change mitigation**. The mainstreaming of mitigation considerations allows urban stakeholders to take advantage of opportunities for low-carbon urban development, while addressing general urban development issues. As an example, the promotion of compact, transit-oriented development may be a mitigation action mainstreamed into land use sector policy to reduce greenhouse gas emissions from private vehicle use in urban areas and a reduction in construction and transmission costs of water, sanitation and electricity and potentially other infrastructure.

**Climate change adaptation**, on the other hand, is the proactive adjustment to both current and future climatic changes and their adverse impacts<sup>31</sup>. Adapting to climate change therefore presents the opportunity to build more resilient cities. For example, to reduce damage to housing that is not designed to withstand climate change impacts, the adoption of climate /disaster resilient building design standards may be mainstreamed into national-level housing policy or national building codes.

When mainstreaming climate actions into national urban policies, policy makers are well advised to take a systems perspective to mainstreaming and to explicitly design their mainstreaming objectives and actions to maximize **co-benefits** – i.e. create win-win strategies where a climate policy or action also has sizable developmental cross-benefits. Examples include mitigation or adaptation measures that also reduce air pollution (health benefits) or energy savings (saving money and protecting eco-systems) or job creation (reducing poverty). Also, some measures are called “**low or no regret measures**” when their co-benefits alone are large enough to justify implementation, even if direct climate benefits are difficult to quantify or can be expected in the long term rather than immediately<sup>32</sup>.

Other linked concepts are those of climate change related disaster risk reduction and management (**DRR/M**), climate change **resilience** and **loss and damage**.

For a more comprehensive discussion of the different terms and concepts, including practical examples touching on different urban development concerns, refer to the Tools and References section below.

### Tools and References:

- *Climate Change Issues to Actions Tool* 
- *Climate Change Concepts* 
- *State of Asian and Pacific Cities 2015*, pp. 136
- *Quick Guide for Policy Makers: Pro-Poor Urban Climate Resilience in Asia and the Pacific*, pp. 16 – 20
- *Addressing Climate Change in National Urban Policy: A Policy Guide for Low-Carbon and Climate-Resilient Urban Development*, pp. 7 – 21

// <sup>26</sup> UNESCAP (2016)

<sup>27</sup> UN ESCAP (2017)

<sup>28</sup> GUNFCCC (2014) chapter 12, p. 927

<sup>29</sup> UN-ESCAP (2017)

<sup>30</sup> UN-ESCAP (2017)

<sup>31</sup> drawing on Least Developed Countries EXPERT Group (LEG) (2011) and IPCC (2014)

<sup>32</sup> Mahendra Sethi, Jose A. Puppim de Oliveira (ed) (2018), p. 11

## 1.2 MAINSTREAMING CLIMATE CHANGE CONCERNS

### What is Mainstreaming?

The term 'mainstreaming' is perhaps best known in the context of gender issues and women's empowerment. There it is the process of first assessing the potentially differentiated implications for women and men of any planned action, including legislation, policies or programmes, and then making women's and men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation so that women and men may benefit equally<sup>33</sup>. More broadly, 'mainstreaming' refers to incorporating a social group or an issue into the 'mainstream' – i.e. make it part of the ideas, attitudes, or activities that are regarded as normal or conventional<sup>34</sup> - or in the policy context to bring an additional emerging or persistent issue or the concerns of a particular group into an existing policy framework or theme. Researchers, for instance, have defined 'environmental mainstreaming' as "the informed inclusion of relevant [...] concerns into the decisions of institutions that drive national, local and sectoral development policy, rules, plans, investment and action"<sup>35</sup>.

National-level responses to climate change and urbanization are often organized separately in two different processes, namely through climate policies on the one hand, and urban (or related sectoral) policies on the other. Climate change mitigation and adaptation is a much younger policy field than urban development, and in many countries institutionally has so far had closer links with natural environment and rural development concerns. However, as discussed earlier, climate change and urban development are significantly interwoven in cause and effect and are subject to mutually reinforcing trends. An isolated response to either could therefore undermine progress in both. Instead, an integrated response should be pursued to unleash synergies and co-benefits and to account for trade-offs and externalities in strategic direction and policy options. In other words, climate change concerns should be mainstreamed into urban (or related sectoral) policies.

In the **context of climate change, mainstreaming therefore can be defined as** a process where current policies, strategies and plans, as well as the legal, financial and institutional frameworks that support these are reviewed and expanded to integrate climate change mitigation and adaptation considerations. The Philippines Climate Change Act of 2009, for instance, has defined mainstreaming as "the integration of policies and measures that address climate change into development planning and sectoral decision-making"<sup>36</sup>. In particular,

this includes introducing climate change responsive language in planning, explicitly setting and then seeking the measurement of climate change related indicators and introducing climate change responsive actions.

### Mainstreaming Entry Points

As discussed earlier, national-level urban-related policies take various forms and are at different levels of development across countries in the Asia Pacific region. Different entry points to mainstreaming can be considered depending on the country's current situation with regards to urban policy development, as described below:

**Systemic Mainstreaming:** This approach may be suitable for countries that already have an integrated national-level policy framework, such as a National Urban Policy (NUP) in place to orient urban development – or for countries that wish to newly develop a NUP. By mainstreaming climate change into this overarching policy, it can facilitate the process of subsequent systematic mainstreaming into sectoral policies, strategies, and legislative, institutional and financial mechanisms that fall under this framework. However, this will only work if policy harmonization is successful - including clear mandates and coordination mechanisms - and if horizontal integration is effective ensuring that urban sectors are allocated sufficient resources to undertake their respective roles and responsibilities. This process is not automatic but requires proactive and targeted interventions by policy makers. This means that information, advice and buy-in already need to be generated from the different levels and stakeholders during policy formulation. Hence, while this is a top-down approach it requires regular, inclusive and meaningful participation from a wide range of urban actors.

For example, the Philippines took advantage of the revision process of the National Urban and Housing Development Framework (NUHDF), which is their overarching national-level urban policy framework, to introduce climate-sensitive and resilience-focused urban development principles and mainstream climate change into all of the Framework elements, including sectoral strategies and action areas. This process is described in more detail in the Project Country Case Study: Philippines. 📄

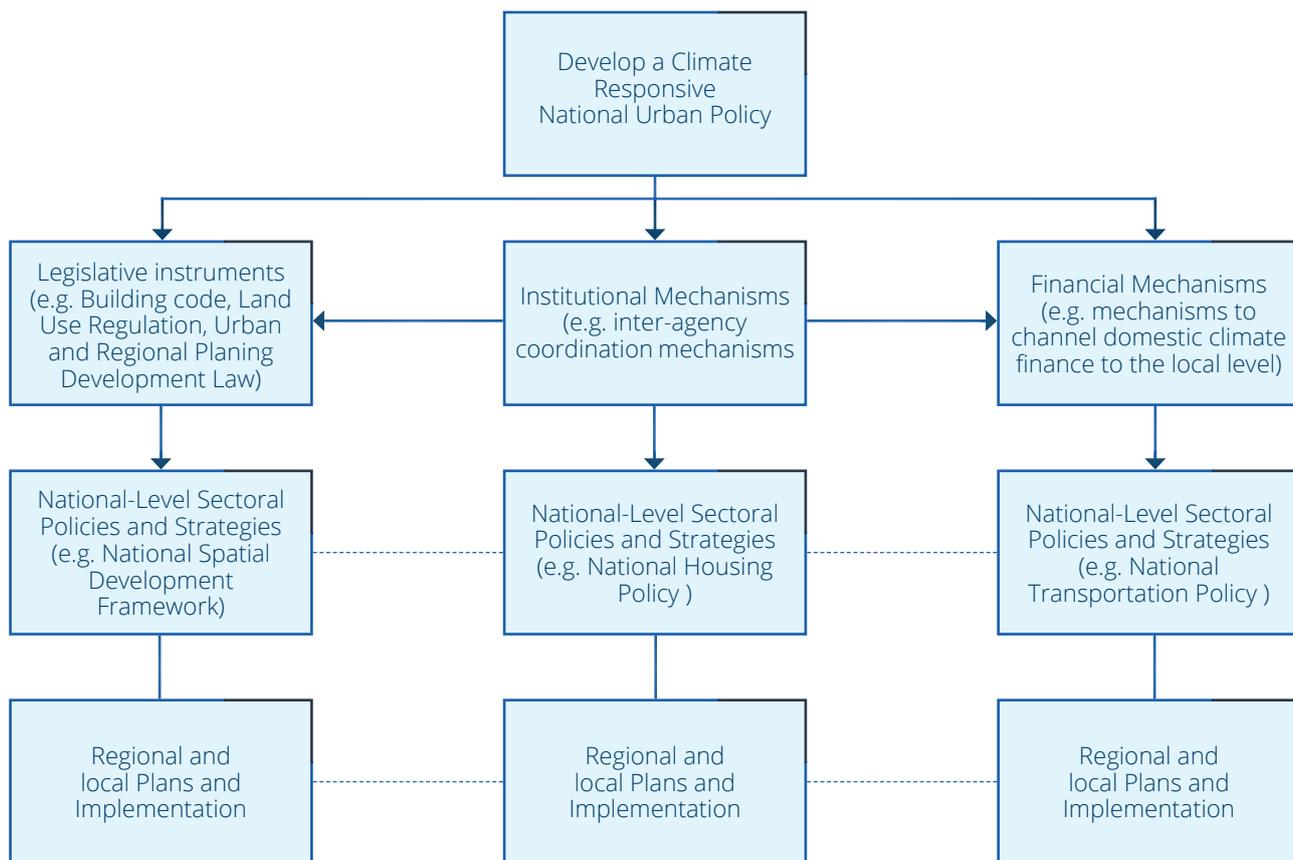
**Sectoral Mainstreaming:** This approach seeks an entry point for mainstreaming of climate change into one sectoral policy, perhaps taking advantage of a specific driver for mainstreaming such as the impacts of a climate-

<sup>33</sup> United Nations (1997a)

<sup>34</sup> Oxford University Press (2018)

<sup>35</sup> International Institute for Environment and

<sup>36</sup> Republic of the Philippines (2009)



// Figure 2. Sample Illustration of Systemic Mainstreaming

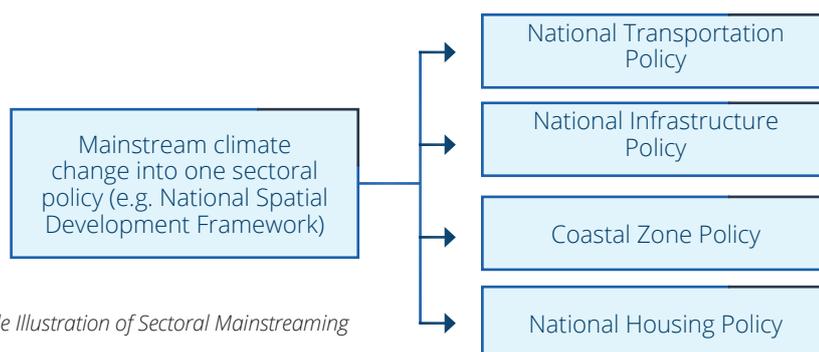
related disaster to the sector, or national commitments under an international agreement, such as the Nationally Determined Contributions (NDCs) under the Paris Agreement, or some funding opportunity. The sector into which climate change was mainstreamed may then advocate and expand the mainstreaming process to other urban sectors, serving as a blueprint.

In addition to the systemic and sectoral approaches that are anchored at the national level as introduced above, some countries have started their mainstreaming process from the local level. For example, Myanmar piloted climate change vulnerability assessments and local action planning processes in two townships. This process was then integrated into the National Climate Change Policy,

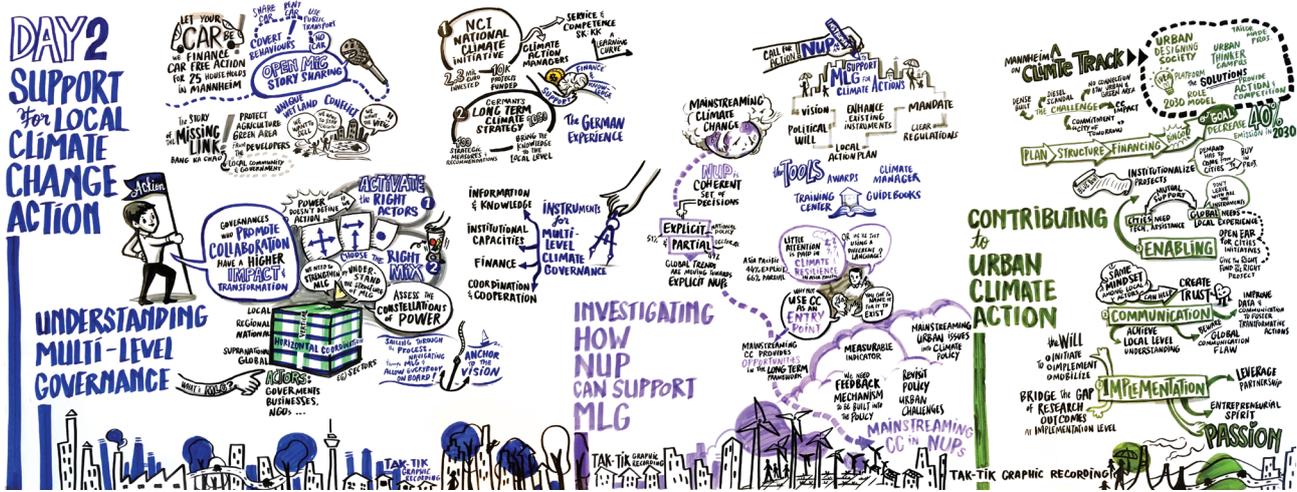
Strategy and Action Plans, with the goal of replicating the format in all 330 townships of Myanmar. For details see the Project Country Case Study: Myanmar. 📄

Whether a mainstreaming process is first anchored at the national or local level, it is beneficial to consider it as a two-way vertical coordination process from the start.

Whatever the form of mainstreaming the country has taken so far and its stage in the process, the framework introduced in this Guide provides flexibility for countries to identify an entry point that is most suitable for their circumstances and from there determine their next steps in the process.



// Figure 3. Sample Illustration of Sectoral Mainstreaming



// Image 1. © UN-Habitat and Tak-Tik Graphic Recording – Summary of Stakeholder workshop discussing NUP and Climate Change

## Forms and Degree of Mainstreaming

**Form:** Depending on what is desirable and politically feasible within a specific country context, different forms of mainstreaming can be considered. For example, some countries may mainstream by adding a specific climate change chapter within a national-level urban policy framework, which makes explicit references to the other chapters. Others may mainstream climate change systematically throughout the sectoral chapters and other elements of the framework, while some may opt for a combination of both.

Whatever form of mainstreaming is chosen, the NUP or alternative policy document should aim for including climate-responsive concepts and language throughout and have data and analysis that explicitly highlights mitigation and adaptation dimensions within the different urban sectors and other issues. It should include proposals/ recommendations or stipulations for climate-sensitive analysis (for example community vulnerability assessments). Consideration should also be given to concepts such as ‘climate justice’ – for example by ensuring that the needs of climate vulnerable populations and systems are addressed as priority issues by default and by design and together with the affected groups, or that a differentiated system of responsibility for mitigation and adaptation is introduced taking into account principles such as “polluters pay” or “extended producer responsibility” on both the sub-national and national basis.

**Degree:** Another question is the desired “degree” or depth of mainstreaming. The UN-Habitat Climate Change Marker (a UN-Habitat internal guideline for project development), for instance, differentiates between the following three degrees:

**Climate Change Aware:** While specific actions and targets with regards to climate change may not be incorporated, there is a minimal amount of discussion pertaining to climate change considerations.

**Climate Change Sensitive:** The inter-linkages between the issues addressed and climate change are systemically analysed, and specific actions, and targets and /or indicators related to the reduction of greenhouse gases, and adaptation to climate change impacts are incorporated.

**Climate Change Transformative:** Avoidance or reduction of a climate change cause or impact is an expected accomplishment, with a corresponding set of actions, targets and /or indicators that reflect global standards and best practices. There is a transformative effect on how climate change is addressed at either the operational or normative levels, with explicit feedback and learning loops, and monitoring and evaluation mechanisms in place.

### Tools and References:

- Project Country Case Study: Philippines 
- Project Country Case Study: Myanmar 

## 1.3 URBAN AND CLIMATE RELATED GOVERNANCE FRAMEWORKS

### Types and Capacity of Governance Frameworks Across Countries of Asia and The Pacific

Urban and climate related governance frameworks across Asia and the Pacific vary widely with different countries having different types of policy, institutions, legislation and financing mechanisms. Accordingly, the state and form of national-level urban-related policies (and whether they take climate change concerns into account) also vary widely. Providing a regional guide that meaningfully speaks to all or most of these forms is therefore challenging – and users of this Guide should be aware that a significant part of the mainstreaming endeavour would be to adapt the generic recommendations from this Guide to their specific mainstreaming context. Nonetheless, there is a set of common normative and operational recommendations that can meaningfully inform the development of climate-responsive national-level urban-related policies in countries across Asia and the Pacific – as proposed in the Mainstreaming Framework of Section 2.

Institutional structure is influenced by whether a country has a federal or unitary government system, and whether it adopts a centralized or decentralized structure. Federated or decentralized states often shift sectoral responsibilities to sub-national level authorities; and consequently, specific sectoral ministries or national sectoral policies have less relevance or do not exist. In contrast, centralized Asian-Pacific states typically have an assigned ministry for urban-related matters. This can, however, pose its own challenges when it comes to the distribution of power, responsibilities and resources. Projects carried out by national-level agencies may focus on large-scale interventions, giving limited power and resources to local agencies. Also, it can be difficult for centralized governance structures to identify context-specific local needs.

In other countries, responsibilities for urban development are distributed across several Ministries and other government organizations. This is the case in Bangladesh, Sri Lanka and in the Philippines, where mappings of respective responsibilities were undertaken as part of the project and are detailed in the Project Country Case Studies. It is also the case in Thailand, and Indonesia.

The complexity of the horizontal and vertical structure of government can pose challenges to coordination of efforts, as responsibilities may be blurred between multiple organs and processes, and duplication of efforts and competition over limited resources may ensue.

A second issue, aside from the form of governance, is the question of capacity of the institutional structure – in terms of human resources but mainly also in terms of financial means available to implement assigned mandates. Especially at sub-national level, government entities mainly rely on central government allotments with limited ability to raise their own funds – and as a result are severely underfunded to serve cities' and populations' needs.

Regardless of where a country finds itself with regards to urban policy development, institutionally and practically strengthening multi-level governance frameworks, and where appropriate, clarification and devolution of functions, responsibilities and funds are important for the effective mainstreaming of climate change concerns into urban strategies, legislation, institutions, policies and initiatives, as well as for the successful implementation of the mainstreamed climate actions.

Multi-level governance provides opportunity for consultation with lower levels of government and their participation in the policymaking process in order to understand the climate change issues that they are facing, thereby enabling context-specific policy development. When decentralization is incomplete or multi-level governance mandates are not clearly defined, however, lower tiers of government may lack the institutional, human and financial capacities to support implementation, possibly resulting in serious implementation gaps and policy failures.

This Guide's Mainstreaming Framework (Section 2) therefore encourages multi-level and multi-stakeholder governance throughout all Tasks and urges to apply an inclusive and integrated approach throughout – proactively anticipating various needs and resources. For the overall integrative potential of National Urban Policy, also see Box 4 below.

#### Tools and References:

- *State of Asian and Pacific Cities 2015, Chapter 5: Urban Governance*, pp. 160-179
- *Quick Guide for Policy Makers: Pro-Poor Urban Climate Resilience in Asia and the Pacific*

## Defining 'Urban' from a Territorial Perspective

As urban populations grow, urban areas are expanding beyond their borders through both formal and informal means, often absorbing smaller settlements. The spatial expansion and increasing interconnectivity of both megacities and secondary cities have resulted in the emergence of metropolitan areas that encompass other cities, towns, villages and rural areas in the form of planned or unplanned urban corridors. This poses challenges to the management of many urban issues that transcend administrative boundaries and urban governance structures.

Many climate change related issues that cities face are a case in point, where the impacts of actions often transcend municipal boundaries into neighbouring municipalities and rural areas. On a watershed scale, for example, the loss of functions or services due to climate change impacts, or interventions to address these impacts in an upstream area, will inevitably affect both urban and rural areas downstream. Coastal areas, river basins, and mountain ranges all require transboundary management.

## Relevance of National Urban Policies for Mainstreaming

The New Urban Agenda recognizes “the leading role of national Governments, as appropriate, in the definition and implementation of inclusive and effective urban policies and legislation for sustainable urban development.”<sup>38</sup> One of the main pillars of the New Urban Agenda is the call to expand and strengthen National Urban Policies (NUPs).

The definition of a NUP, according to UN-Habitat, 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”<sup>39</sup> A National Urban Policy serves the following functions:

1. Provides an overarching framework for coordination to address urban challenges and maximize the benefits of urbanization, while mitigating potential adverse externalities;
2. Serves as a lever to amalgamate the dispersed energy and potential of urban centres within a national system of cities and towns; and
3. Provides a tool to coordinate the work of different sectors and tiers of government, consult various urban stakeholders, establish the incentives for more sustainable practices, and allocate resources to address urban issues. A NUP is a framework policy document to guide several

New multi-level and collaborative governance systems are required to better manage urban development and mainstream issues such as climate change into urban policies - taking into account systems of cities, integration of urban and rural functions, and balanced territorial development.

Therefore, the International Guidelines on Urban and Territorial Planning<sup>37</sup> recommend defining urban areas from a functional or territorial perspective- or at least adopting a territorial perspective for purposes of analysis in order to holistically address the nexus between climate and urban development related issues, whether they take place within administrative boundaries or not.

### Tools and References:

- *International Guidelines on Urban and Territorial Planning*
- *HABITAT III Policy Paper Framework 6 – Urban Spatial*
- *Strategies: Land Market and Segregation State of Asian and Pacific Cities 2015, pp. 12-13*

decades of urban development. It can contribute to planning and managing economic development and job-creation opportunities, spatial structure and territorial distribution of the population, infrastructure supply, human development, environmental sustainability and climate resilience. The NUP should function as an “umbrella policy” that regulates and directs – or at least coordinates - other developmental and public policies on integrated urban-related matters. “NUP-making” is a core governance function and allows translating a political vision, which was democratically discussed and approved, into programmes and actions that address a particular public concern.<sup>40</sup>

A NUP can take several forms. It can either be a single law, executive order or other enactment by a national legislature, ministry or head of state. It can also be more informal, taking the form of a series of separate actions or plans that, taken together, add up to a coherent urban policy. Most importantly, it must represent a singular vision shared across all corners of government<sup>41</sup>. The UN-Habitat report: *The Global State of National Urban Policy 2017*<sup>42</sup> classifies NUPs as either “explicit” or as “partial”. Explicit NUPs are observed where a policy has a title of ‘National Urban Policy’ or a variant such as ‘National Urbanization Policy’ or ‘National Urban Strategy’ or ‘National Urban Development Strategy’. Partial NUPs refer to a policy form in which many of the elements of a NUP exist but they are not yet brought together as a formal or in other words an “explicit” NUP. Under these definitions, 43 NUPs (including

<sup>37</sup> UN-Habitat (2015b)

<sup>38</sup> United Nations (2016), Article 15 (b)

<sup>39</sup> UN-Habitat (2014a)

<sup>40</sup> UN-Habitat (2016); UN-Habitat (2018).

<sup>41</sup> *Citiscopes* (2017)

<sup>42</sup> UN-Habitat (2018)

both explicit and partial NUPs) have been established in the Asia and the Pacific region, constituting 29 percent of all NUPs globally. Of these, 22 are classified as explicit NUPs.

Every country context is unique. As described above, quite a number of countries in the region have some form of NUP or a collection of urban-related policies at national level. However, there are big differences in what such a policy covers, in the force or authority that it bears, in the amount of guidance or direction it gives, how and when it is to be implemented and by whom. In some countries, a policy is a statement prepared and issued on behalf of the government as a whole; in others it may have been prepared by a Ministry or Department or coordinating body but is subsequently sanctioned and issued by the national government; in yet others it may remain the policy of one Ministry. All these factors play a significant role in how effective a NUP would be. Some countries may be in the process of considering drafting a new NUP while in others such a discussion is not even on the political agenda. For the purpose of this Guide, the default assumption is that countries have an existing NUP or some other overarching document fulfilling similar functions and that guidance is given on how to mainstream climate actions into it.

This section of the Guide therefore makes a case for having a NUP that propagates good governance, that builds on a territorial understanding of urban systems, and that is normatively aligned to the above-mentioned international development agendas. After all, how impactful mainstreaming of climate actions into a NUP can be would depend a lot on the underlying principles and coherent and comprehensive nature of the NUP itself. For countries with an existing NUP, it is recommended to use this Guide especially in conjunction with “Addressing Climate Change in National Urban Policy: A Policy Guide for Low-Carbon and Climate-Resilient Urban Development”.

The development and implementation of a NUP provides the opportunity to strengthen multi-level governance, by presenting a framework for collaborative and coordinated institutional arrangements between all levels of government - promoting linkages between sectoral policies, as well as between national, regional and local governments and policies, therefore enhancing both vertical and horizontal coordination. At the same time, NUPs can be an important tool to promote strengthened urban, peri-urban, and rural links through integrated territorial development and a longer-term, national-level vision of urban development priorities and a “system of cities”. Box 4 below summarises the integrative potential of NUPs along five dimensions.

Moreover, mainstreaming climate change into an existing NUP is a valuable opportunity to strengthen fundamental

aspects of the NUP itself. In the case that mainstreaming of climate actions is being considered as part of a drafting process for a new NUP, this Guide can also provide valuable overall guidance. If a country is undertaking the development of a new NUP, it is recommended that the Core Team uses this Guide especially in conjunction with “National Urban Policy: A Guiding Framework” and “National Urban Policy Framework for a Rapid Diagnostic” (see Box 1).

In the absence of a NUP, below normative and governance recommendations for climate change mainstreaming would be relevant for informing other national-level urban-related policies. By finding an entry point for climate change mainstreaming into one national-level sectoral policy, for example, the urban sector into which climate change was mainstreamed can then advocate and expand the mainstreaming process to other sectors.

#### Box 4: Integrative Potential of National Urban Policy

// National Urban Policies have great potential to be transformational and systematically mainstream climate actions, if embedded along the five main dimensions of coordinated or integrated urban governance as outlined below:

**Vertical integration:** National Urban Policies can increase coherence between national and sub-national levels, as well as regional and global development agendas and related opportunities for addressing urban climate change issues.

**Horizontal (sectoral) integration:** Urban development comprises many interrelated sectors and issues that are often dealt with by different ministries and departments. National Urban Policies can support an integrated-systems approach that coordinates sectoral actions, mainstreaming climate change and disaster risk reduction into key urban policy areas.

**Territorial integration:** National Urban Policies can improve coordination across municipalities, especially within megacities or continuous urban conglomerations, or between neighbouring municipalities faced with climate risks that require actions beyond their municipal limits like for example across a common watershed.

**Stakeholder integration:** The rights of various stakeholder groups must be considered to ensure inclusiveness in addressing climate change issues and their resources (knowledge, finance, networks) can go a long way in making climate actions more effective. National Urban Policies provide a framework to consult various urban actors, based on principles of transparency and participation.

**Temporal integration:** In order to move away from short-term political cycles and strengthen long-term coherence and predictability, National Urban Policies can provide a mid- to long-term overarching framework beyond local and national election and funding cycles.

Valuable lessons for drafters of NUPs from on-going NUP processes in several countries worldwide include:

- Ensure that you give enough attention to and create ownership of fundamentals, such as adequate control of public spaces, buildability rights, a financial strategy and a governance framework;
- Beyond formulation of the public policy cycle, already consider its implementation;
- Many NUPs would be driven by a sectoral ministry or a coordinating body that doesn't have full implementation oversight or mandates, so ensure that you focus on integration, that you follow a strategic path as most suitable in your country context; and that you agree on a road map

with all key institutions and other urban stakeholders;

- As much as possible, try and look beyond 'cities' to structures and functions of systems or networks of cities and links between urban centres and more rural hinterlands;
- Ensure that your NUP has a well-articulated framework for a 'national government – local government' relationship<sup>43</sup>.

#### Tools and References:

- *National Urban Policy: A Guiding Framework*
- *National Urban Policy Framework for Rapid Diagnostics*
- *Addressing Climate Change in National Urban Policy: A Policy Guide for Low-Carbon and Climate-Resilient Urban Development*

## 1.4 NEW GLOBAL FRAMEWORKS FOR DEVELOPMENT ACTION

Within the past few years, the international community has agreed several important global development frameworks. Recent adoptions of landmark United Nations agreements such as the 2030 Agenda for Sustainable Development, the Paris Climate Agreement, the Sendai Framework for Disaster Risk Reduction, the New Urban Agenda and the Addis Ababa Action Agenda on Financing for Development<sup>44</sup> have created a significant opportunity to build coherence and cohesion across different but cross-cutting policy areas. Synergizing these frameworks can enhance and accelerate progress on the overlapping agendas of sustainable urban development, climate change mitigation and adaptation, and disaster risk reduction and management.

The systematic integration of international frameworks into the mainstreaming process can serve to provide guidance and identify entry points for the mainstreaming of climate actions into national urban-related policies. Gaining the support of local-level stakeholders, and aligning international, national and local-level policy targets and indicators will support the implementation of these international processes, while adequately reflecting the needs and realities of the local actors vulnerable to climate change. Further, adopting international targets and indicators on the national and local levels may also assist with leveraging climate and development finance to support policy implementation, and open up opportunities for networking and highlighting national urban issues at global forums.

Relevant global agreements, as they relate to cities and climate change, are summarized below. In addition, International Frameworks Tool lists the provisions in these major global frameworks that address climate change and urban issues in unison and provides information on the respective implementation and reporting mechanisms of

the frameworks in more detail.

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### 2030 Agenda for Sustainable Development

**Aim and focus:** *Comprehensive development agenda covering social, economic, and environmental dimensions of sustainable development*

**Approved by:** *193 UN Member States*

**Implementation Period:** *2016 - 2030*

The 2030 Agenda for Sustainable Development was adopted by the UN member States in 2015 and came into force in 2016<sup>45</sup>. It is a voluntary, non-binding agreement that can be viewed as the overarching global development framework with the other global agendas addressing more specific development aspects. The 2030 Agenda consists of four sections: a political Declaration, a set of 17 Sustainable Development Goals (SDGs) with 169 targets and respective indicators<sup>46</sup>, the Means of Implementation (finance, technology, capacity building, systemic issues), and a framework for Follow-up and Review. The 2030 Agenda aims to be comprehensive, indivisible and universal with the principle objective of "leaving no one behind". All countries have a shared responsibility to achieve the SDGs taking into account national realities, capacities and levels of development and specific challenges. Governments are expected to take ownership and establish national frameworks that align policies, plans and programmes with

// <sup>43</sup> UN-Habitat (2014b)

<sup>44</sup> Discussion of the Addis Ababa Action Agenda, whose focus is the financing for development, is outside of the scope of this Guide. It can be accessed here: [www.un.org/esa/ffd/wp-content/uploads/2015/08/AAAA\\_Outcome.pdf](http://www.un.org/esa/ffd/wp-content/uploads/2015/08/AAAA_Outcome.pdf)

<sup>45</sup> It is the follow-up framework to the Millennium Declaration and the Millennium Development Goals, but is much broader and more ambitious in scope

<sup>46</sup> United Nations (2015a)



// Image 2. © UN-Habitat, Adoption of the New Urban Agenda, Quito, October 2016

the SDGs targets and indicators, and to “conduct regular and inclusive reviews of progress at the national and sub-national levels”. The 2030 Agenda is based on the concept of global partnership. Nonetheless, nationally owned and country-led sustainable development strategies will require significant resource mobilization and additional financing strategies.

**Urban Development:** Given the strongly transformative effect of urbanization and the vitality of cities and local communities, a stand-alone SDG was agreed for cities and communities. SDG11 - “Make cities and human settlements inclusive, safe, resilient and sustainable” aims to mobilize stakeholders to promote cohesive, local-level strategies and accelerate progress towards truly sustainable urban development, which involves addressing climate change, as well as extreme poverty. However, beyond SDG 11, of the total of 169 SDG targets, around two thirds require the strong engagement of local stakeholders to progress on the 2030 Agenda as a whole<sup>47</sup>. The role of cities and local governments is vital in ensuring local ownership and impacts, in facilitating vertical and horizontal integration of policies and plans, and in reaching out to other urban stakeholders.

**Climate change issues and actions:** Climate change, with SDG 13, also has a standalone goal in the 2030 Agenda on “urgent action to combat climate change and its impacts”, while a number of other goals and targets contribute to enhancing resilience more generally and mitigating the impact of human settlements and urban economies on climate change. SDG 13 specifically calls for strengthening resilience and adaptive capacity to climate-related hazards and natural disasters, integrating climate change measures into national policies, strategies and planning, and improving human and institutional awareness on climate change mitigation, adaptation, impact reduction and early warning.

## New Urban Agenda

**Aim and focus:** *Sustainable Urban Development*

**Approved by:** *167 UN Member States*

**Implementation Period:** *2016 - 2036*

The New Urban Agenda (NUA) is the outcome document of the United Nations Conference on Housing and Sustainable Urban Development (Habitat III), ratified in October 2016. It is a voluntary, non-binding agreement that sets global standards of achievement in sustainable urban development by rethinking the way we build, manage and live in cities. It is a comprehensive guide for global efforts towards sustainable urban development over the next 20 years covering aspects such as governance structures, social inclusion, spatial development, urban prosperity and environmental sustainability. The NUA aims to bring together relevant stakeholders and partners at all levels of government, as well as in the private sector.

The NUA already resonates with the 2030 Agenda whose SDGs (particularly SDG-11) contain indicators against which the NUA can be measured. Conversely, the NUA itself broadly outlines more of the means of implementation for cities, critical for the achievement of SDG-11 and beyond. The NUA calls for a progress report on the state of implementation every four years.

**Climate Change issues and actions:** This is given prominence throughout the New Urban Agenda, focusing on the dual approach of mitigating and adapting to climate change through urban development<sup>48</sup>. Reducing greenhouse gas emissions in cities is essential to mitigation, whilst increasing resilience of cities is essential for adaptation.

**National Urban Policies** are considered a key tool for

// <sup>47</sup> United Cities and Local Governments (2015)

<sup>48</sup> UN-Habitat (2017a)

implementing the New Urban Agenda, assisting countries to define their urban priorities at national level and devising structures and processes to achieve these priorities.

## Paris Agreement

**Aim and focus:** *Keeping a global temperature rise well below 2 degrees Celsius above pre-industrial levels, while increasing the ability to adapt to the adverse impacts of climate change, foster climate resilience and low greenhouse gas emissions development, and providing needed finance*

**Approved by:** 178 out of 197 Parties to the Convention

**Implementation Period:** Starting 2020 – with targets to be renewed on a 5-year basis

The United Nations Framework Convention on Climate Change (UNFCCC) is the primary intergovernmental forum for negotiating the global response to climate change with the ultimate objective of stabilizing greenhouse gas (GHG) concentrations “at a level that would prevent dangerous anthropogenic (human-induced) interference with the climate system”. The Paris Agreement, which was signed in 2015 and came into force in 2016, is the latest step under the UNFCCC to combat climate change and adapt to its effects. As countries formally ratify it, they commit to legally binding Nationally Determined Contributions (NDCs) to address the sources of GHG emissions at the national level. All Parties of the Agreement are requested to submit revised NDCs that are recorded in a public register on the UNFCCC website every five years. To facilitate the provision of climate finance, the UNFCCC established a financial mechanism to provide financial resources to developing country Parties, serving the Kyoto Protocol and the Paris Agreement. The Global Environment Facility (GEF) and the Green Climate Fund (GCF) are its operating entities with further funds including the Special Climate Change Fund (SCCF), the Least Developed Countries Fund (LDCF) and the Adaptation Fund (AF). For more information on climate finance, check the [Climate Finance Information Sheet](#) 

**Urban Development:** In many countries of Asia and the Pacific, urban and urban-related issues are a priority under the NDCs, which means that strategies need to be developed to implement adaptation and mitigation measures in cities. Among these countries with a clear urban focus, mitigation priorities focus mainly on energy production, reduction of non-CO<sub>2</sub> GHG emissions, industry efficiency, agriculture, forestry and/or LULC, waste management and to a lesser extent on the building sector, and water management. Adaptation priorities focus on vulnerability and disaster, health/health care, water management, biodiversity and/or ecosystems conservation, food security, and further adaptation priorities<sup>49</sup>. For further details, including a map of countries in Asia and the Pacific that prioritise urban issues check the [International Frameworks Tool](#) . As

countries develop strategies to implement their NDCs, it is expected that greater levels of climate finance will flow into the priority actions outlined in those strategies, from both international and national sources. Also, cities and urban areas are a priority in five of the eight strategic priorities for the Green Climate Fund – three in mitigation, in the areas of transport, energy generation and access, and buildings, cities, industries and appliances; and two in adaptation, addressing enhanced livelihoods of vulnerable people and communities, and food, water security, and health. The Adaptation Fund also has a strong focus on urban development financing projects and programmes that help vulnerable communities in developing countries adapt to climate change and build climate resilience.

## Sendai Framework for Disaster Risk Reduction

**Aim and focus:** *Increase countries' resilience to disasters*

**Approved by:** 187 UN Member States

**Implementation Period:** 2015 - 2030

The Sendai Framework for Disaster Risk Reduction, endorsed by the United Nations General Assembly following the 3<sup>rd</sup> UN World Conference in Disaster Risk Reduction in 2015, is a voluntary, non-binding agreement that aims for “the substantial reduction of disaster risk and losses in lives, livelihoods and health and in the economic, physical, social, cultural and environmental assets of persons, businesses, communities and countries”<sup>50</sup> by 2030. The Sendai Framework has seven global targets<sup>51</sup> and four priorities for actions across sectors by states at local, national, regional and global levels<sup>52</sup>. A set of 38 indicators is the official tool to report on both - the 7 Global targets of the Sendai Framework and on SDGs 1, 11 and 13. The Sendai Framework Monitor functions as a management tool to help countries develop disaster risk reduction strategies, make risk-informed policy decisions and allocate resources to prevent new disaster risks.

**Urban Development:** The Sendai Framework recognizes that the State has the primary role to reduce disaster risk, but that responsibility should be shared with other stakeholders including local governments, the private sector and others. It acknowledges the crucial role of local governments in prevention and reduction of disaster risk and promotes the strengthening of their role and capacities to address these issues. For example, Priority 3 (h) states “To encourage the revision of [...] rehabilitation and reconstruction practices at the national or local levels, as appropriate, with the aim of making them more applicable within the local context, particularly in informal and marginal human settlements, [...], with a view to fostering disaster-resistant structures”. The Sendai Framework is the successor instrument to the Hyogo Framework for Action (HFA) 2000-2015 with the vision of ‘Building the Resilience of Nations and Communities to Disasters’.

<sup>49</sup> UN-Habitat (2017b), p. 29

<sup>50</sup> United Nations Office for Disaster Risk Reduction (UNISDR) (2015). Section II, Paragraph 16

<sup>51</sup> *Ibid.*, Paragraph 18

<sup>52</sup> *Ibid.*, Paragraph 20

## Section 2: Framework for Mainstreaming Climate Change into National Urban Policies in the Asia Pacific Region

### 2.1 INTRODUCING THE FRAMEWORK: MAINSTREAMING ACROSS A MATRIX OF “PHASES” AND “ELEMENTS”

**What the Framework is and how it can be used:** As highlighted in Section 1.3, across countries of Asia and the Pacific, national-level urban related policies take different forms and are at different stages and levels of development. As such, a rigid step-by-step Framework would fail to adequately consider the respective situations of countries, including the diversity of urbanisation processes, governance systems, climate change issues as well as on-going mainstreaming processes. Instead, the presented Framework, while looking at mainstreaming systematically, allows for a flexible, non-prescriptive approach.

While the Framework as the “default option” assumes the existence of one overarching urban policy document, such as a NUP into which climate actions are to be mainstreamed, it can also serve as guidance for mainstreaming into a narrower document or a set of documents, or can be a useful catalyst for developing a new National Urban Policy, which would be climate change responsive from the start. In the latter case it is particularly recommended to use this Guide in conjunction with the UN-Habitat publication “National Urban Policy: A Guiding Framework” (see Box 1).

The climate change mainstreaming **Framework** takes the form of a matrix with four mainstreaming **Phases** of A: Feasibility and Diagnostics, B: Formulation, C: Implementation, and D: Evaluation, and four mainstreaming **Elements** of 1) Substantive process, 2) Resource and capacity assessment and development, 3) Urban and climate related policy alignment, and 4) Institutions and stakeholders. The Framework allows users to pick tasks in relevant building blocks across Phases and Elements and helps them design their country and time specific mainstreaming process.

*The Framework is presented to users at three levels of depth:*

- **Firstly**, there is the **Overview Table** (Table 1) presented as a two-page spread in the middle of the Guide. The four Phases are the rows of the Overview Table and the four Elements are the columns. The Framework shown in the Overview Table follows a structure that can be read from

top-left to bottom-right but allows users to choose the aspects that are most applicable to their context.

- **Secondly**, Section 2 of the Guide provides brief introductions or explanations for each of the **Tasks** mentioned in the Framework's Phases and Elements, following the same structure as the Overview Table.

- **Thirdly**, more detailed and comprehensive assistance and explanations for each Task can be found in the **Framework Tasks Tool** , which has been designed to help the responsible person/ team with mapping out the steps and tasks as well as the order and timeline for their specific mainstreaming process. As the main accompanying Tool of Guide, the Framework Task Tool also provides links to all the other Tools and References helping the user to orient him or herself through the full set of provided materials. The Framework Task Tool is a separate document from the Guide and together with all other Tools and References can be accessed here: [http://www.fukuoka.unhabitat.org/cc\\_nup](http://www.fukuoka.unhabitat.org/cc_nup). A training tool provides an introduction to the overall process and the use of the tools and references.

If users are starting the mainstreaming process from the beginning, all Elements and Phases can be considered. If the mainstreaming process is on going, the Overview Table can be used to review mainstreaming actions already undertaken, and to choose the most applicable next steps in taking the process forward. The designers of a mainstreaming process, moreover, are likely to identify additional tasks specific to their process that are not mentioned in the Framework.

### Box 5: Explanation of the Framework's Four Elements

**1) Substantive process** - Working through this Element, you focus on identifying and analyzing the 'WHY' (driver) and the 'WHAT' (issues, objectives, actions); and zoom in on the 'HOW' of the mainstreaming process (mapping it out, monitoring and evaluation, drafting the text and pushing for implementation).

**2) Resource and capacity assessment and development** - This Element assists you with mapping out and analysing available and needed resources and capacities and planning all practical and logistical aspects of the mainstreaming process. It involves conducting capacity gap assessments and planning and undertaking capacity development activities (on a needs basis) throughout Phases A, B and C. Under this Element you receive guidance on creating detailed work plans and supporting resource mobilization for implementation of mainstreaming through the entire body of relevant policies, as well as for subsequent climate actions.

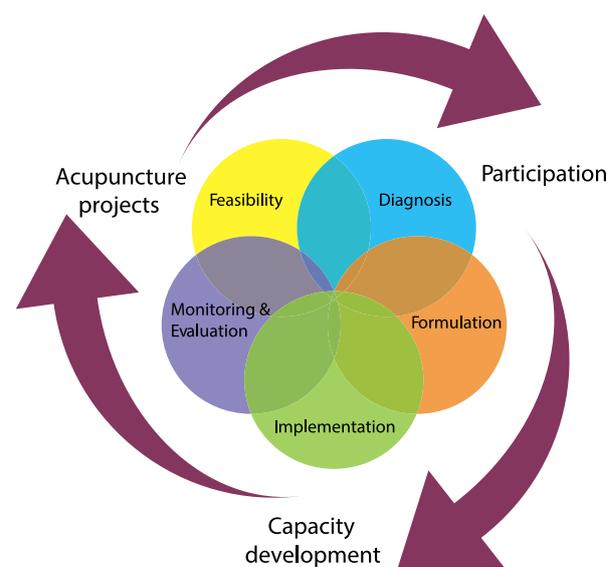
**3) Urban and climate related policy alignment** - All key international, national (including sectoral) and sub-national urban- and climate-related policies, strategies and frameworks,

as well as relevant legislative instruments should be identified and analysed, so that the mainstreamed national urban policy makes correct and complete references (conscious of hierarchies, relationships and mandates) and embeds necessary mechanisms of coordination and implementation, including financing. Documents here are defined as including any policies, strategies, frameworks, legislation, regulations, key programs, initiatives and plans of a normative/ guiding or of a legally binding nature.

**4) Institutions and Stakeholders** - All key government institutions with urban- and climate-related mandates should be identified and analysed (as "inside actors"), so that the mainstreamed national urban policy makes the right and complete references and considers linkages and mechanisms of coordination and implementation and their needs, mandates and resources should be taken into account. Also, key actors outside government should be identified, such as civil society, community organizations, academia, business, professional associations etc. and their needs, roles and resources should be taken into account.

The "Phases" of this Mainstreaming Framework have been developed largely in alignment with the five phases of NUP development as introduced in National Urban Policy: A Guiding Framework. However, there are three main differences between both Frameworks, which are pointed out here for the benefit of those policy makers who are using both Guides in conjunction, for example, because they are preparing a new NUP from scratch. Firstly, since the main aim of this Guide is to focus on mainstreaming climate change concerns into urban policy rather than drafting a new NUP from scratch, the Framework was simplified by merging 'Feasibility' and 'Diagnosis' into one Phase. Secondly, 'Participation' and 'Capacity development' are recommended throughout all four Phases of this Guide's Framework. Lastly, this Guide's Implementation Phase focuses only on the adoption of the mainstreamed policy and on the political, legal and administrative follow-up policy implementation process itself – i.e. the alignment with and instructions for operationalisation of the mainstreamed framework policy at the national level (i.e. at line Ministries such as Ministry of Interior and national level agencies with urban related mandalas such as a National Housing Authority), rather than on implementing the stipulated climate actions themselves. 'Acupuncture projects', which is one of the pillars of the NUP process introduced in the supporting publications, are therefore beyond the scope of this Guide.

As shown in **Figure 4**, the Phases purposefully overlap with each other, as in practice some steps and actions would be expanded or revisited. They also purposefully form a cycle, as frameworks and policies may need to be reviewed, adapted and updated from time to time to reflect new developments and include learnings from previous policy cycles.



Source: National Urban Policy: A Guiding Framework, P. 10

This mainstreaming framework may be used to assist urban stakeholders that are looking to develop a climate-responsive NUP, or to mainstream climate change into their existing NUP. However, in the absence of an overarching NUP, and without immediate plans to develop one, governments may also use this tool to mainstream climate change through the review of other national-level urban-related policies, such as national spatial frameworks and sectoral policies etc. which collectively provide a framework for integrated urban development, thereby implicitly serving the function of a NUP.

#### **Tools and References:**

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- *Framework Tasks Tool* 
- *National Urban Policy: A Guiding Framework, p. 10*

**Finding your Entry Point:** Depending at which stage a country already is with developing a national-level urban policy framework, government officials may find looking directly at Phase B: Diagnosis or Phase C: Formulation most helpful – or in other words enter the cycle at any stage. Each Phase contains a “menu of suggestions” or “checklist for consideration” of what officials preparing or reviewing a policy framework could include when tailoring their own systematic approach to mainstreaming climate change issues into national level urban policies.



## 2.2 PHASE A: FEASIBILITY AND DIAGNOSIS (LAYING THE GROUNDWORK – ASSESSING AND ANALYSING)

A: Feasibility and Diagnosis	B: Formulation	C: Implementation	D: Evaluation
<p>In this phase the drivers for mainstreaming climate change into urban policy/ies are identified, and the goals and substance of the mainstreaming process are determined. Political will to undertake the entire exercise of mainstreaming climate change concerns into NUPs is essential, so identifying high-level champions is a crucial task. Political will – at all junctures – is one of the main drivers of success and if not present needs to be proactively sought and then nurtured throughout the mainstreaming exercise.</p> <p>In Phase A all relevant policies, strategies, frameworks, legislation, regulations, key programs, initiatives and plans are mapped and analyzed. The urban policy document(s) into which to mainstream climate change into are identified, or the structure and content of a new climate-responsive NUP is</p>		<p>outlined. The institutional partners and other stakeholders that need to be kept in the loop or with which collaboration should be sought are identified and reached out to. The necessary human and financial resources and institutional commitments are identified and secured for the mainstreaming process, and for preparing a Diagnosis Paper (in your country such a document may have a different name, such as Discussion Paper or White Paper) on the content and process for mainstreaming policy formulation and implementation. This includes a monitoring and evaluation plan covering all Phases and Elements.</p> <p>The output of this phase is a <b>DIAGNOSIS PAPER</b>, which is used to build consensus and guide the policy drafting process during the Formulation Phase.</p>	

### ELEMENT 1: Substantive Process

#### Identify drivers (WHY) you want to mainstream climate actions into urban policy - make your case for mainstreaming

One of the first steps of the mainstreaming process would be to consider the reasons for mainstreaming climate change into national-level urban-related policies. These drivers can either be internal factors, such as government priorities or a change of elected leadership; or external factors, such as a climate-related extreme event that has had substantial impact on urban areas, a funding opportunity, or the country's recent commitment to an urban- or climate-related global agreement. Often, it is a combination of different drivers that provides a strong opportunity to make a national-level urban policy climate responsive. Identifying the drivers allows policy makers to strategically consider the approach for mainstreaming, including which policy document could serve as an entry point for mainstreaming climate change considerations, and whether a systemic or specific mainstreaming

approach should be taken. It also helps in determining the most realistically feasible level of mainstreaming– whether climate change considerations should be mainstreamed comprehensively into all elements of a national urban policy framework, or into select chapters of the policy; and whether to aim for climate change aware, sensitive, or transformative actions. In addition to determining the drivers, understanding the motivation of key actors will serve to identify potential champions for mainstreaming, which are individuals or institutions that have interest and are willing to take ownership over the process. Meaningfully and systematically involving these actors from the beginning is crucial in order to successfully lobby for financial, technical and legislative assistance for the mainstreaming process.

**These References and Tools are recommended for more detailed guidance on this Task:**

- *Framework Tasks Tool*  
- *Making the Case Tool*  
- *Climate Issues to Actions Tool* 

## Identify urban-related climate change issues, mainstreaming objectives and climate actions (WHAT)

Identifying and analysing the urban-related climate change issues in your country, deriving the mainstreaming objectives, and determining appropriate climate actions to address the prioritized issues are central aspects of the mainstreaming process. This step lays the groundwork for Phase B: Formulation, where the climate change-related text is drafted or incorporated for the purpose of newly formulating or revising your national-level urban-related policy; as well as for Phase C: Implementation, where the newly integrated climate change considerations are put into practice. A strong framework that interlinks the key climate change issues with mainstreaming objectives and climate actions is also essential for developing a good monitoring and evaluation framework for Phase D: Evaluation. For climate change mainstreaming to be relevant and comprehensive, there is a need to first gain an evidence-

based understanding of all the climate change issues that various urban stakeholders are encountering, and that various urban sub-systems contribute to or are vulnerable to. This identification process should be conducted in consultation with a wide variety of urban stakeholders and should be informed by desk research and a review of climate change policies and plans. Once these issues have been identified, an analysis should be conducted to rank the relative importance of the various climate change impacts on and of cities. Priority climate change issues should be translated into mainstreaming objectives, and suitable climate action options linked to the objectives. The analysis should look at climate change from a “whole-of-system” perspective, as it facilitates the selection of climate actions with integrated or systemic solutions potentially also generating substantive developmental co-benefits.

### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Climate Issues to Actions Tool*   
- *Quick Guide for Policy Makers: Pro-Poor Urban Climate Resilience in Asia and the Pacific*
- *Addressing Climate Change in National Urban Policy: A Policy Guide for Low-Carbon and Climate-Resilient Urban Development* 

## Customize your mainstreaming process using this Framework (HOW) – creating Process Timeline

As explained earlier, this mainstreaming Framework by necessity is generic and flexible, and is intended to assist countries in designing their own, tailor-made mainstreaming process according to their country context and needs. This Task first involves a review of the Guide’s entire Mainstreaming Framework to become familiar with it. The policymakers leading the mainstreaming process next identify their entry point in the Framework (in the beginning or within one of the phases in the event that the mainstreaming process is on-going, and some tasks have already been completed). They then determine what other Tasks should be implemented, and in what order. Not every Task proposed may be necessary or appropriate

for your tailor-made mainstreaming process. On the other hand, there may also be a need to add country-specific Tasks that are not presented within this Framework but are important in the country context. The output of this activity is a rough sequence of planned Tasks along a preliminary **Process Timeline**. This customized timeline should remain a living document that the Core Team can adjust and add more details to according to feedback from a wider group of institutions and key stakeholders, and as resource and capacity needs become apparent. Throughout the mainstreaming process, the Core Team can check progress against the timeline.

### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*   

## Analyze good practices for M&E and draft an M&E Plan, including indicators for mainstreaming objectives and interim milestones

Monitoring and evaluation (M&E) provides the opportunity to review the process and progress of mainstreaming at all stages, and to identify any shortcomings. Many countries have standardized M&E as well as reporting procedures to measure and report on the progress of policy development and implementation. While there are various approaches to undertaking policy and programme evaluation, the most common nowadays is a results-based monitoring and evaluation framework. An M&E framework typically adopts **indicators** (with baselines and targets) to measure progress. Indicators play a role by helping to outline policy goals in specific terms, monitoring progress, and providing feedback to managers and the public. Indicators can measure progress in terms of the resources applied to the mainstreaming or implementation process (**input indicators**), tangible and intangible results of policy implementation (**output indicators**), the benefits that the policy has delivered (**outcome indicators**), and progress against the mainstreaming objectives over the longer term (**impact indicators**). Beyond measuring results, the M&E framework should serve to understand whether and what in the mainstreaming **process** did or did not help with

achieving the mainstreaming objectives. An important aspect of a good M&E process is that it includes **feedback mechanisms** during the ongoing policy planning, drafting and implementation phases, including feedback of other institutions and stakeholders. These mechanisms may take the shape of regular meetings with the Reference Group or other key stakeholders, or progress measurement and analysis documents. Lessons learned should be incorporated into the policy implementation cycle, promoting an iterative policy design.

To properly monitor and evaluate the mainstreaming process, an M&E Plan should be developed during **Phase A: Feasibility and Diagnosis** as part of the Diagnosis Paper, which also needs to be agreed with other involved government institutions and stakeholders. Importantly, the M&E plan should include the budgetary needs for M&E, and clear responsibilities of information sharing by the Core Team and other institutions and stakeholders (including on providing data). For this mainstreaming process, alignment of policies with international frameworks is also important.

### These References and Tools are recommended for more detailed guidance on this Task:

- [Selecting Indicators Tool](#) 
- [Drafting Your Diagnosis Paper Tool](#)  
- [Framework Tasks Tool](#)  
- [UNEG Handbook for Conducting Evaluations of Normative Work in the UN System](#)<sup>54</sup>
- [Results-based Management Handbook: Harmonizing RBM concepts and approaches for improved development results at country level](#)<sup>55</sup>

## Compile a Diagnosis Paper based on outputs of all tasks from Phase A of your tailored mainstreaming process

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 structure. At minimum, this paper should include the objectives of the climate-responsive policy formulation or revision; references to relevant policy and planning documents and legal instruments; a clear outline of the main climate change issues to be addressed, mainstreaming objectives and related climate actions; a simple socio-economic,

environmental and financial impact assessment of the selected actions; estimated timelines for implementation; capacity needs to be addressed; proposed institution(s) responsible for drafting of the policy framework; and monitoring and evaluation procedures. If a country wishes to introduce a completely new climate responsive NUP, it is recommended to consider structuring the Diagnosis paper along the lines proposed in the publication: 'National Urban Policy: Framework for A Rapid Diagnosis'.

### These References and Tools are recommended for more detailed guidance on this Task:

- [Framework Tasks Tool](#)  
- [Drafting Your Diagnosis Paper Tool](#)  
- [National Urban Policy: Framework for A Rapid Diagnosis](#)

// <sup>54</sup> United Nation Evaluation Group (2013)

<sup>55</sup> United Nations Development Group (UNDG) (2011)

## Element 2: Resource and Capacity Assessment and Development

### Identify Core Team for feasibility and diagnosis, formulation, implementation and M&E phases of mainstreaming process (WHO)

For the purpose of this mainstreaming framework, the 'Core Team' is a small group of people tasked with driving the mainstreaming process. The Core Team makes the detailed decisions of how to move through the phases of the Mainstreaming Framework. What the Core Team undertakes themselves or delegates to others can vary. The composition of the Core Team and what institution it is anchored to will also vary by country context and will depend on the trigger or motivation for mainstreaming climate change into urban policy. For example, the Core Team may consist of representatives from one or more government entities – or it could be a working group under the country's climate change commission or an urban coordination mechanism. Hence, who sets up the Core Team would also depend on country circumstances. It is proposed that the Core Team identifies a wider 'Reference Group' of representatives from government institutions that will be involved in implementing the mainstreamed policy and from key stakeholder groups, including vulnerable and marginalized constituencies (this is reintroduced and

elaborated under Phase A, Element 4).

It is important that the Core Team has the authority (e.g. in the form of a mandate and "political cloud") to push the mainstreaming process through. Where mandates overlap, roles and responsibilities for all other institutions involved in the mainstreaming process need to be clearly defined in order to avoid potential conflict. It is recommended to have a strong champion driving the process at the core. Beyond that, it is suggested that the Core Team includes specialists from different related fields, and members with a strong ability to attract a Reference Group consisting of representatives from government institutions that will be involved in implementing the mainstreamed policy, and from key stakeholder groups including vulnerable and marginalized constituencies. Importantly, managers or political overseers need to ensure that the Core Team has the time and other necessary resources to undertake the mainstreaming process. This may include capacity development and financial resources for the process.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Project Country Case Studies to see which institutions drove the mainstreaming process these pioneering countries in Asia and the Pacific: Bangladesh* , *Myanmar* , *Philippines* , *Sri Lanka* , *Solomon Islands* , *Vietnam* .

### 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

Mainstreaming climate change concerns and actions into a comprehensive national-level policy involves a whole range of complex issues and sectors related to urban development. Such a process is time and labour intensive, requiring a wide variety of expertise and a large set of governmental and non-governmental actors, as well as finances to organize meetings and in some cases to hire experts to assist with analysis, drafting or trainings.

The Core Team may require capacity development for carrying out the mainstreaming process and supporting policy implementation, which will likely come at a cost. If the Core Team is not yet mandated to carry out the mainstreaming process, financial resources may be needed to be obtained either in-house from the lead institution or from other parts of the government machinery, or in some circumstances, from outside resources such as international development partners or other donors.

Once the Core Team has customized its mainstreaming process and has developed a clear timeline with the specific tasks that will be undertaken, it is possible to conduct a resource and capacity gap assessment of the human, technical, financial and informational capacities and constraints of the Core Team (and nature of assistance from the Reference Group) against the tasks outlined in the process timeline. If gaps and needs are highlighted in this assessment, it will be important to formulate a **Financing and Capacity Development Strategy** for mobilizing additional resources and capacity development for the Core Team (and the Reference Group). This task will likely be an ongoing and reiterative process, as the Core Team first needs to understand the nature of all tasks for its customized mainstreaming process, who is making up the Core Team and Reference Group, what has already been done in country that is of use, and how much time is given for the mainstreaming process.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *SWOT Tool*   

	ELEMENT 1: Substantive process	ELEMENT 2: Resource and capacity assessment and development
<b>PHASE A: Feasibility and Diagnosis</b>	<ul style="list-style-type: none"> <li>✓ Identify drivers (WHY) you want to mainstream climate action into urban policy - make your case for mainstreaming</li> <li>✓ Identify urban-related climate change issues, mainstreaming objectives and climate actions (WHAT)</li> <li>✓ Customize your mainstreaming process using this Framework (HOW) – creating process <b>Timeline</b></li> <li>✓ Analyze good practices for M&amp;E and draft an <b>M&amp;E Plan</b>, including indicators for mainstreaming objectives and interim milestones</li> <li>✓ Compile a <b>Diagnosis Paper</b> based on outputs of all tasks from Phase A of your tailored mainstreaming process</li> </ul> <p>The goals, substance and main steps of the mainstreaming process (including M&amp;E) have been clearly articulated in the Diagnosis Paper</p>	<ul style="list-style-type: none"> <li>✓ Identify <b>Core Team</b> for feasibility and diagnosis, formulation, implementation and M&amp;E phases of mainstreaming process (WHO)</li> <li>✓ Assess availability and gaps in needed human, financial, informational, institutional and other resources for undertaking the mainstreaming process; and develop a <b>Financing and Capacity Development Strategy</b></li> </ul> <p>The necessary (human, financial) resources and institutional commitments for the mainstreaming process have been secured</p>
	<p><b>Output Phase A: Preparation: DIAGNOSIS PAPER, the content of which has been agreed by key institutions and stakeholders, containing:</b></p> <ul style="list-style-type: none"> <li>• Goal and objectives of the mainstreaming process</li> <li>• Summary of urban-related climate issues and diagnosis of urban and climate related policies (SWOT, gaps, priorities)</li> <li>• Annotated outline of content to be mainstreamed into a certain policy or set of policies</li> <li>• A preliminary strategy for mainstreaming process is outlined in broad terms, including general roles, resources and M&amp;E</li> </ul>	
<b>Phase B: Formulation</b>	<ul style="list-style-type: none"> <li>✓ Prepare a detailed <b>Formulation Work Plan</b> for your Policy Proposal</li> <li>Conduct periodic M&amp;E as per plan developed in Phase A</li> <li>✓ Undertake <b>Implementation Analysis</b> to understand the policy, legislative and institutional landscape in your country</li> </ul> <p>The drafting process has been well planned and executed, and an Implementation Analysis has been included in the Policy Proposal</p>	<ul style="list-style-type: none"> <li>✓ Undertake capacity development activities of Core Team or Reference Group if needed</li> </ul> <p>The Core Team and the Reference Group have clear assignments and capacity to complete them in time and with high quality, including periodic M&amp;E</p>
	<p><b>Outputs Phase B: Formulation: POLICY PROPOSAL (i.e. mainstreamed national urban policy/ies document), whose content has been agreed by key institutions and stakeholders; and if appropriate, draft recommendations for operationalization in follow-on legislation and planning.</b></p>	
<b>PHASE C: Implementation</b>	<ul style="list-style-type: none"> <li>✓ Facilitate the process of having the <b>Policy Proposal</b> sanctioned/ adopted or agreed by the respective oversight / decision-making bodies in line with country-specific requirement</li> <li>✓ Continuously monitor process and outcomes of implementation, and create feedback mechanisms to inform future policy cycles (responsibilities defined, clear progress indicators, analysis of downstream policy documents, regular meetings with reference group and key stakeholders)</li> </ul> <p>The process of adopting and operationalizing the policy has been completed</p>	<ul style="list-style-type: none"> <li>✓ Create detailed implementation work plan on support/ coordination/ oversight by Core Team and Reference Group</li> <li>✓ Support resource mobilization for implementation of mainstreamed climate actions, considering domestic and international, private and public financing sources and mechanisms, and support measures to channel financial resources to sectoral and sub-national implementing bodies</li> <li>✓ Develop capacities of sectoral and sub-national implementing bodies if mandated and needed (including on access to climate finance), and support institutionalization of capacity building processes where possible</li> </ul> <p>All necessary resources and capacity development for successful implementation have been provided to all key implementers</p>
	<p><b>Output Phase C: Implementation: POLICY ADOPTION and OPERATIONALISATION</b></p> <ul style="list-style-type: none"> <li>• Implementation plan with clear timelines, tasks and roles, confirmed resources and covering capacity development needs;</li> <li>• Mainstreamed National Urban Policy/ies Document has been ratified (if legally binding according to country's legislative process), its directives and recommendations have been transcribed into respective laws and regulations, and operationalized in sectoral and</li> </ul>	
<b>PHASE D: Evaluation</b>	<ul style="list-style-type: none"> <li>✓ Evaluate if the mainstreaming process has been effective and inclusive</li> <li>✓ Evaluate if the policy proposal has been sanctioned/ adopted or agreed upon by the respective oversight / decision-making bodies</li> <li>✓ Evaluate if climate-responsive national urban policy has been operationalized with follow-on policies, legislation, plans etc.</li> <li>✓ Plan or encourage evaluation of whether the mainstreamed/ new national urban policy has enabled implementation of urban-related climate actions</li> </ul> <p>Evaluation process has been implemented and institutionalized, including all relevant government bodies and stakeholders</p>	<ul style="list-style-type: none"> <li>✓ Evaluate if capacity building had the desired impact and reached the right people</li> <li>✓ Evaluate if climate-responsive national-level urban policy has been aligned with local, national and global financing opportunities</li> </ul>
	<p><b>Output Phase D: Evaluation: EVALUATION REPORT, whose content has been agreed by key institutions and stakeholders</b></p> <ul style="list-style-type: none"> <li>• Institutionalisation of periodic evaluation and review of policy impacts with feed-in of learnings into subsequent policy processes</li> </ul>	

**ELEMENT 3: Urban and climate related policy alignment<sup>53</sup>**

- ✓ Identify relevant national, sectoral and sub-national **urban**-related documents, including stage of National Urban Policy development and sources of financing, and check if climate change has been mainstreamed
- ✓ Identify relevant national, sectoral and sub-national **climate** policies, strategies and frameworks that have relevance in urban context, and check if urban-related concerns are sufficiently covered
- ✓ Identify relevant sections in **international** frameworks linked to urban development and/or climate change with relevance for urban context
- ✓ Find existing mainstreaming efforts of climate change concerns into national, sectoral or sub-national urban policies from **other countries**, and diagnose if helpful for your context
- ✓ Identify other **cross-cutting issues** (e.g. gender) that could be mainstreamed into your policy formulation or revision alongside climate change, as well as existing mainstreaming processes of your country and other countries to learn from
- ✓ In the **Diagnosis Paper**, undertake a comparative analysis of the 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

The urban policy document(s) into which to mainstream has/ have been identified and an annotated outline drafted (or a new climate responsive NUP outline drafted) as part of the Diagnosis Paper

**ELEMENT 4: Institutions and stakeholders**

- ✓ Map and analyze relevant parts of your country's institutional landscape (**government**), and identify potential mainstreaming champions
- ✓ Map and analyze relevant key **stakeholders (outside government)** and identify potential mainstreaming champions
- ✓ 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 a **Reference Group (WHO)**

Consensus has been reached with institutional partners and other stakeholders on content, and process for mainstreaming policy formulation and implementation has been proposed in the Diagnosis Paper

- ✓ 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
- ✓ Align national policy targets with international framework targets and indicators, as well as review and reporting requirements as far as possible

Text of policy proposal has been either newly formulated or adapted to include: a) climate responsive language, b) evidence on climate change status quo and trends and impact of planned climate actions, and c) concrete mainstreaming objectives and climate actions – by sector and at national and sub-national levels

- ✓ Involve relevant institutions and key stakeholders in formulation process and Implementation Analysis

Participating institutions and stakeholders support formulation of changes, and are ready to support implementation

- ✓ Oversee, encourage or assist sectoral ministries or government agencies to align existing policies and plans, or develop new ones in line with implementation objectives of the newly mainstreamed national-level urban policy/ies
- ✓ Mandate, encourage or assist local governments to align existing policies and plans, or develop new ones in line with implementation objectives of the newly mainstreamed national-level urban policy/ies

All linked (“downstream”) documents have been aligned with new climate responsive national urban policy, enabling actors to start implementation of urban-related climate actions

- ✓ Facilitate delegation of roles and responsibilities to sectoral and sub-national implementation bodies
- ✓ Define roles and responsibilities for stakeholders, and facilitate institutionalization of coordination processes (e.g. development of standards and procedures for stakeholders) if possible

All relevant government bodies and other stakeholders actively and inclusively contributed to policy adoption and operationalization; their roles were clarified and if appropriate institutionalized

**sub-national policy documents, and plans and budgets have been aligned accordingly**

- ✓ Evaluate if the mainstreaming process of national urban policy/ies fully considered existing sectoral and sub-national policies and legislation
- ✓ Evaluate if the mainstreamed urban policy/ies have been aligned with targets, indicators, monitoring and review of international frameworks

- ✓ Evaluate if institutional roles, responsibilities and coordination are clear and processes are functioning
- ✓ Evaluate if all key stakeholders were meaningfully involved throughout, their resources were effectively incorporated, and their needs met

## Element 3: Urban and Climate Related Policy Alignment

### Identify relevant national, sectoral and sub-national urban-related documents, including stage of National Urban Policy development and sources of financing, and check if climate change has been mainstreamed

In order to analyse which national, sectoral and subnational urban-related policies and strategies require alignment with the new climate change responsive urban policy framework and also for the Core Team to gain an understanding to whom to reach out for consultation and coordination, there is a need to first map out and identify the relevant documents in your country. Even if an overarching NUP framework is not yet in place, the country may already have national-level policies, strategies or frameworks in place with significant urban dimensions. It is recommended that the Core Team undertake a mapping and inventory of all such documents, along with an assessment of their implementation and practices.

A thorough review and comparative analysis of these documents may serve to reveal gaps and potential entry points for mainstreaming climate change concerns. Some of the documents may already include climate-responsive language and actions – and can be referenced as a good practice. Where such considerations are absent, alignment with the new climate-responsive urban policy framework will provide the opportunity to mainstream climate change concerns into these documents.

In the absence of a NUP, or immediate plans to develop one, the Core Team can also use this review and analysis to assess if the country can benefit from developing one.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  

### Identify relevant national, sectoral and sub-national climate policies, strategies and frameworks that have relevance in urban context, and check if urban-related concerns are sufficiently covered

While your country does not yet have a climate-responsive national urban policy, it likely already has some climate change related policy, institutional, legal or financial framework. It is therefore recommended to do a systematic mapping and diagnosis of all national, sectoral and subnational climate change related policies and strategies for several reasons. Firstly, it provides the Core Team with an overview of how climate change concerns are treated in the country's policy and other frameworks, and aspects of that can inform the formulation or revision of the national urban policy/ies. Secondly, such climate change related policies and other frameworks may already include urban development dimensions, which then should be referenced and integrated into the logic of the new or revised climate change responsive national urban policy. Thirdly, such a mapping would help the Core Team to gain an understanding to whom to reach out to for collaboration and consultation. This is particularly

important in the case of national, sectoral or sub-national climate change related policies with identified domestic or international financing mechanisms, such as National Adaptation Plans (NAPs) or Nationally Determined Contributions (NDCs) to implement climate action under the Paris Agreement. Sectoral policies, strategies, legislation or plans with direct or indirect links to urban development (e.g. transport, housing, disaster risk management, agriculture, health etc.), and urban climate actions and initiatives at the national and subnational should also be identified and alignment/synergies should be explored. As part of this task, it is also recommended that the Core Team undertake a literature review of country-related academic and international development publications to gather information on status quo and trends of urban-related climate change concerns, analyses of causes, effects and interlinkages, and policy recommendations.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *National Adaptation Plan Technical Guidelines* <http://www4.unfccc.int/nap/Guidelines/Pages/Technical-guidelines.aspx>

### Identify relevant sections in international frameworks linked to urban development and/or climate change with relevance for urban context

The integration of international urban- and climate-related targets and indicators into national-level urban policies can provide additional normative guidance for addressing urban climate change issues. It also ensures that the country is put on a path to fulfilling its international obligations – be they of a declarative or legally binding nature. This will strengthen the country's position in the international climate change discourse, and in some cases, it can also be vital for leveraging climate finance from international sources. Researching urban and climate-related international agreements and frameworks and analysing their relevant monitoring targets and indicators and comparing them against national urban- and climate-related policy targets will serve to reveal areas that are not yet in alignment (possibly serving as further - drivers or entry

points for urban related climate change mainstreaming). A first step is to outline the current status of ratification and implementation of international frameworks in the country and to map which government agencies are responsible for delivering and reporting on those international targets. Next, it is important to understand the respective process, implementation, review and reporting mechanisms of the different international frameworks so that the climate-responsive national-level urban policy can fully contribute to fulfilling the countries' various obligations. Later during the policy formulation process in Phase B: Formulation, specific alignment can be undertaken for each climate change issue/ urban sector, each mainstreaming objective and relating climate actions with international framework targets and indicators.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *International Frameworks Tool*   

### Find existing mainstreaming efforts of climate change concerns into national, sectoral or sub-national urban policies from other countries, and diagnose if helpful for your context

The experiences of other countries in formulating a climate change responsive NUP or mainstreaming climate change concerns into an existing national-level urban policy can serve as good practices – especially if those countries share similar climate change challenges and/ or legal and institutional structures as your own country. This task involves reviewing both the best practices of other countries that have gone through the process of formulating a climate-responsive NUP or have mainstreamed climate change concerns into an existing national-level urban-related policy; as well as the experiences of mainstreaming climate change

into other sectoral policies in your own country. In doing so, it is possible to gain valuable insight into lessons learned, and to create synergies around various processes surrounding institutions, capacity building, stakeholders, financing, and implementation. It also provides insight into the substantive process of identifying priority climate change issues and mainstreaming objectives and determining appropriate climate actions. Sub-national policies, plans and initiatives on climate change related issues may also be informative with regards priorities and realities on the ground, and hence may also be included in the review.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Country Case Studies* 

### Identify other cross-cutting issues (e.g. gender) that could be mainstreamed in your policy formulation or revision alongside climate change, as well as existing mainstreaming processes of your country and other countries to learn from

Whether a new climate-responsive NUP will be developed or climate change considerations will be mainstreamed into an existing national-level urban-related policy, the mainstreaming of climate change is a good opportunity to consider other issues and principles such as gender, human rights or pro-poor development, which can be mainstreamed simultaneously. This has the advantage of

bringing valuable allies and champions into the process, in turn ensuring that the intended positive impacts of the policy are even more pronounced and transformative (for example, because they comprehensively address the needs of vulnerable population groups). It also helps synergize resources in the mainstreaming processes.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  

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

A thorough **review and comparative analysis** of the above-identified set of documents and international frameworks will reveal the status quo or the qualitative and quantitative baseline of the country vis-a-vis climate responsive urban development. It clarifies linkages and hierarchies as well as degree of alignment with one another, and cross-referencing needs. It further identifies gaps and potential opportunities (that could reveal further drivers and entry points for mainstreaming) and confirms priority needs for mainstreaming. In this manner, such

a comprehensive diagnosis or analysis constitutes the substantive basis of the mainstreaming process. Once this comprehensive analysis has been undertaken, it can assist in strategically deciding whether the country should draft a new NUP from scratch - or it can reaffirm into which existing national-level, urban related policy (or set of policies) climate change concerns and actions need to be mainstreamed into. It also provides a comprehensive overview of what follow-on changes in sectoral or sub-national policy or legislation should be mandated.

### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

## ELEMENT 4: Institutions and Stakeholders

### Map and analyze relevant parts of your country's institutional landscape (government), and identify potential mainstreaming champions

This task deals with the “inside stakeholders” within the government. A thorough **institutional mapping and analysis** is recommended in order to illustrate the urban- and climate-related institutional landscape within which the mainstreaming process will take place, and in which the mainstreamed climate change actions will be implemented. This involves mapping out all government institutions with urban- and climate-related mandates, as well as sub-national governmental entities where appropriate; and examining their respective responsibilities, interests, power dynamics and influence both in relation to undertaking the various activities of the mainstreaming process, and in implementing the climate-responsive policy resulting from

mainstreaming. Possible “champions” of mainstreaming within the government should also be identified. By conducting this analysis, the Core Team should gain insight into the urban and climate-related institutional framework, and various policy processes.

The analysis should also help in identifying possible implementing agencies for the climate actions selected for mainstreaming, and their existing urban climate-related actions and initiatives that can serve as implementation mechanisms. The institutional stakeholder mapping should, therefore, closely relate to Phase A, Element 3 in identifying which institutions are responsible for which policy documents and processes.

### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Stakeholder Analysis Tool*   
- *Good Urban Governance Tool*   
- *Planning for Climate Change, p. 39. Identifying Project Champions*
- *NUP Guiding Framework: pp.22-23, Building Support for NUP: Understanding and Articulating the Vision and Value Addition*
- *NUP Training Workbook, pp.46-50. Mapping stakeholders in the diagnostic phase*

## Map and analyze relevant key stakeholders (outside government) and identify potential mainstreaming champions

Key actors outside government, such as civil society, community organizations, academia, business, professional associations etc. should be identified, and needs, roles and resources should be considered in formulating, implementing and monitoring and evaluating the climate-responsive national urban policy/ies. Importantly, they should include grassroots representation, especially from “vulnerable” and minority groups such as youth, women and poor and disadvantaged communities. Possible “champions” of mainstreaming

outside of the government should also be identified. Mapping out private sector/ businesses, as well as non-governmental, international and civil society organizations (“outside actors”) that have adopted climate-related initiatives or corporate social responsibility programs may provide additional insight into where synergies can be created in policy implementation; and provide insight into private financing mechanisms and donor opportunities from which funding for the mainstreamed climate actions can be mobilized.

### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Stakeholder Analysis Tool*   
- *Good Urban Governance Tool*   
- *Planning for Climate Change, p. 39. Identifying Project Champions*
- *NUP Guiding Framework: pp.22-23, Building Support for NUP: Understanding and Articulating the Vision and Value Addition*
- *NUP Training Workbook, pp.46-50. Mapping stakeholders in the diagnostic phase*

## 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 a Reference Group (WHO)

Stakeholder engagement processes, especially for the purpose of identifying climate change issues and determining mainstreaming objectives and climate actions, need time and often carry an expense. Therefore, it is important for the Core Team, with the agreement of institutional partners and key outside stakeholders to formulate a Participation Strategy that determines the appropriate level of stakeholder engagement (information sharing, consultation, co-decision making, co-implementation or M&E), the means of engagement (e.g. meetings, workshops, focus groups and surveys), and the points at which the engagement is to occur (e.g. identification of climate change issues, policy formulation, implementation). The Participation Strategy would include developing terms of reference for stakeholder participation; and where appropriate institutionalising participation, including establishing feedback mechanisms and communication protocols.

Establishing a Reference Group – a smaller group of stakeholders consisting of representatives from government institutions that will be involved in implementing the mainstreamed policy, and from key stakeholder groups including vulnerable and marginalized constituencies – may be useful in order to facilitate necessary stakeholder consultations and ensure meaningful engagement throughout the mainstreaming process. The Reference Group, if appropriate in the country context, could contribute first-hand knowledge of climate change trends and impacts for the purpose of determining the mainstreaming objectives and climate actions; and in the case of government institutions, possibly to the end of implementing the climate actions selected for mainstreaming.

### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Stakeholder Analysis Tool*   
- *Drafting Your Diagnosis Paper Tool*  
- *Planning for Climate Change, pp. 37-44, Module A: What is Happening? Step 2: Stakeholder Participation*
- *Planning for Climate Change Toolkit, p.8-9, Tool 2-A: Stakeholder Identification*

## 2.3 PHASE B: FORMULATION (DRAFTING POLICY PROPOSAL)

A: Feasibility and Diagnosis	B: Formulation	C: Implementation	D: Evaluation
In this Phase the Core Team, with support from the Reference Group, formulates (or revises) their climate-responsive urban policy and prepares for implementation considering the activities and proposed outputs under each Element; while aiming to maximize the integrative potential of national urban policies listed in <b>Box 4</b> . The Core Team should ensure that the new climate actions or climate adjusted existing urban development actions are based on clear and realistic work plans, account for budgeting needs and include stakeholder considerations, elicited through meetings and other communications. It is		also recommended that the Core Team already at this stage conducts an Implementation Analysis – as this may influence formulation of actions and responsibilities in the policy proposal and ensures that the Core Team will be well prepared to push for national-level implementation and operationalizing of the policy once it has been formally agreed or adopted.	
		The output of this phase is a <b>POLICY PROPOSAL</b> (i.e. the fully drafted policy), which is to be formally agreed upon or adopted during the Implementation Phase.	

### ELEMENT 1: Substantive Process

#### Prepare a detailed Formulation Work Plan for your Policy Proposal

The output of Phase B: Formulation is a **Policy Proposal** (i.e. the fully drafted, climate responsive policy text), which is to be formally agreed upon or adopted during Phase C: Implementation. Formulating the Policy Proposal entails a number of steps and considerations including engaging relevant stakeholders, creating detailed implementation proposals for climate actions, developing capacities of the Core Team and/or Reference Group to provide adequate support to implementing agencies, conducting implementation and capacity gap analyses in preparation for implementation, drafting the climate-responsive text of the urban policy framework, and receiving and incorporating feedback from key stakeholders. A **Formulation Workplan** can be developed to structure this process; consisting of a breakdown of tasks, timelines and budget for each of the tasks, and defined roles and responsibilities for stakeholders, ensuring that the tasks are carried out to completion by the appropriate actors within the determined timeframe and budget.

Detailed implementation proposals for individual climate actions should be a part of the Workplan. These should include a summary of the proposed climate action and corresponding mainstreaming objectives; a clear breakdown of implementation activities, estimated budgets and realistic timelines, and defined roles and responsibilities for implementing stakeholders. To ensure that the inputs of implementing stakeholders are adequately reflected and the climate action proposals account for synergies in implementation processes, the Core Team should prepare these sections of the Workplan either jointly with relevant implementing stakeholders, or by closely coordinating inputs and conducting timely peer reviews, in line with the Participation Strategy formulated in Phase A. Where there are capacity or resource needs for the implementing agencies (which will be identified through a Capacity Gap Assessment in Phase B Element 2), capacity development and resource mobilization should be considered in estimating the timelines and budgets.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

#### Conduct periodic monitoring and evaluation as per plan developed in Phase A: Feasibility and Diagnosis

The Core Team should ensure that the M&E framework developed for Phase A: Feasibility and Diagnosis, is followed. The M&E framework may need some adjustments after the Formulation Work Plan has been agreed on, as it

provides far more details of the process and content than was available on Phase A. The Core Team should therefore undertake a review of the M&E framework and make adjustments in agreement with the Reference Group.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  

## Undertake Implementation Analysis to understand policy, legislative and institutional landscape in your country

Prior to implementation, it is recommended to undertake an Implementation Analysis in order to understand the sectoral and local-level policy, legislative and institutional landscape within which the policy will be implemented. Specifically, it should investigate the sectoral and local policies and plans that will need to be developed or revised in order to successfully implement the mainstreamed climate actions, as well as existing administrative procedures and legislative instruments that might either support or hinder implementation;

or are lacking altogether. The Implementation Analysis should influence the formulation of the policy, creating as much of an enabling environment for implementation as possible. With reference to the outcomes/findings of this analysis, in Phase C: Implementation, the Core Team may provide support and oversight to implementing agencies to the end of developing or retrofitting sectoral or local-level policies and plans for effective implementation, while ensuring alignment with the targets of the newly adopted climate-responsive urban policy.

**These References and Tools are recommended for more detailed guidance on this Task:**

- *Framework Tasks Tool*  

## Element 2: Resource and Capacity Assessment and Development

### Undertake capacity development activities of Core Team or Reference Group if needed

The capacity development activities outlined in the **Financing and Capacity Development Strategy** (see Phase A, Element 2) should be conducted at this stage to prepare the Core Team and Reference Group for drafting (or providing support to the drafting of) the Policy Proposal, and for implementation support. For example, this may take the form of training activities to enhance understanding of policy, climate change, participation or M&E processes; or for providing technical support to implementing agencies in the development of individual climate action proposals in the **Formulation Workplan**.

Once the climate action proposals are in place and there is a clear understanding of the specific activities proposed, capacity development activities should also be commenced in preparation for Phase C: Implementation.

A **Capacity Gap Assessment** should be undertaken to assess the human, technical, financial and informational capacities and constraints of the proposed implementing agencies against the specific tasks or activities outlined in the Workplan. If gaps and needs are highlighted in this assessment, it will be important to formulate a **Capacity Development Strategy** for implementing stakeholders, for capacity development activities to be carried out throughout **Phase C: Implementation**. Capacity development for the Core Team and Reference Group may also be necessary to adequately provide technical and project management support, resource mobilization support, and oversight and coordination to implementation-related activities according to the detailed climate action proposals.

**These References and Tools are recommended for more detailed guidance on this Task:**

- *Framework Tasks Tool*  
- *SWOT Tool*  

## Element 3: Urban and Climate Related Policy Alignment

### Undertake capacity development activities of Core Team or Reference Group if needed

The Core Team plays a central role in the drafting of the Policy Proposal, and institutions that will be involved in implementation may also support or have roles and responsibilities in the drafting process. While ownership over the formulation process should firmly remain in the hands of the country's national-level government, professional consultants may also be hired to support the process if deemed necessary, and where the financial resources are available.

The Proposal should clearly reflect the climate change issues, mainstreaming objectives and proposed climate actions (as outlined in the **Diagnosis Paper** formulated in Phase A) in the appropriate sections or chapters and include an M&E framework with realistic and manageable targets for implementation of the proposed actions in line with the climate action proposals in the **Formulation Workplan**. It should also include an estimation of budget needs and other resources

(technical, human, informational, institutional) needed to successfully implement the climate actions and achieve the mainstreaming objectives. Other national, subnational and sectoral urban- and climate change-related policies and plans that were identified for alignment in Phase A: Feasibility and Diagnosis should also be clearly referenced. The Core Team and other stakeholders in charge of drafting the **Policy Proposal** will now need to consider how all these factors will be reflected in the text. In the case of an existing urban policy framework, this will entail issues

such as how to incorporate an inclusive and sustainable urban development storyline using climate-responsive language and data; and determining which chapters and policy elements the climate-responsive content will be mainstreamed into, and to what level (i.e. climate change aware, sensitive or transformative). Likewise, where a new climate-responsive NUP will be drafted, there is need to consider how this content will be framed within the policy framework.

### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  
- *Selecting Indicators Tool*   

### Align national policy targets with international framework targets and indicators, as well as review and reporting requirements as far as possible

In Phase A: Feasibility and Diagnosis, international frameworks and processes of relevance to urban development and climate change were reviewed to assess the alignment of international and national policy targets and indicators. The formulation of a new climate-responsive NUP, or the revision of an existing national-level urban policy framework to mainstream climate change provides the opportunity to align the specific climate change issues, mainstreaming objectives and related

climate actions selected for mainstreaming with the relevant international framework targets and indicators. The respective process, review and reporting mechanisms and requirements of relevant international frameworks identified in Phase A should also be incorporated into the climate-responsive urban policy framework, providing guidance to the country's national government in fulfilling its implementation and reporting requirements.

### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  

## ELEMENT 4: Institutions and Stakeholders

### Involve relevant institutions and key stakeholders in formulation process and Implementation Analysis

It is essential that feedback from key stakeholders is received and adequately incorporated in the drafting of the Policy Proposal. The Formulation Workplan includes clear roles for relevant government institutions and outside stakeholders (the Reference Group) in line with the Participation Strategy agreed on in Phase A. In addition, prior to the adoption of or formal agreement on the Policy Proposal, it is important that participating institutions and

stakeholders agree on the climate-responsive content and are ready to support implementation. The Implementation Analysis (see Phase B, Element 1) helps in understanding the roles and resources needed. All identified stakeholders should have an opportunity to provide input to and feedback on the Implementation Analysis to ensure it is correct and complete.

### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  

## 2.4 PHASE C: IMPLEMENTATION (POLICY ADOPTION AND OPERATIONALIZATION)

A: Feasibility and Diagnosis	B: Formulation	C: Implementation	D: Evaluation
<p>This Phase entails implementation of the national-level policy through country-specific processes under each Element. This includes agreement or adoption of the Policy Proposal, creating a detailed <b>Implementation Workplan</b> on support for and coordination with institutions and stakeholders - informing and guiding them on concrete means of operationalizing the mainstreamed policy throughout relevant institutions, legislation, planning budget distributions etc. It also includes advocacy and providing capacity development as necessary and systematic monitoring of the policy implementation process.</p> <p>Implementation of the national-level mainstreaming process for the purpose of this Mainstreaming Framework stops with</p>		<p>stipulations from the new climate-responsive framework policy having been adopted and integrated in policy and implementation plans of all involved government institutions at the national level, and in some cases at sub-national level. It does not include local implementation strategies and plans, nor the actual implementation of climate actions on the ground.</p> <p>The output of this phase is POLICY ADOPTION AND OPERATIONALIZATION or alignment in all necessary follow-on institutional, legislative, budgetary and planning documents. It does not include the implementation of the mainstreaming objectives and related climate actions themselves</p>	

### ELEMENT 1: Substantive Process

#### Facilitate the process of having the Policy Proposal sanctioned/ adopted or agreed by the respective oversight / decision-making bodies in line with country-specific requirement

Once the new climate-responsive NUP has been drafted, or an existing urban policy framework has been revised to mainstream climate change considerations, the draft policy framework then needs to go through a process of sanction or agreement by the relevant oversight / decision-making bodies to be officially adopted. Following agreement and adoption of the policy framework, the next step will be to

reach an agreement on which government agencies or departments will be in charge of putting the mainstreamed climate actions into motion. While the process of policy approval will differ by country, the Core Team can play a key role in coordinating this process and seeing the newly adopted policy through to implementation.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  

#### Continuously monitor process and outcomes of implementation, and create feedback mechanisms to inform future policy cycles (responsibilities defined, clear progress indicators, analysis of downstream policy documents, regular meetings with Reference Group and key stakeholders)

For Phase A: Feasibility and Diagnosis it was proposed that the Core Team develops an M&E framework as part of the Diagnosis Paper. This framework should have established monitoring and evaluation as an ongoing function throughout the mainstreaming process. In line with that framework, in Phase C: Implementation the Core Team should concern itself with the timeliness and quality of inputs and outputs of implementation, as well as ensuring that the implementation process is effective and inclusive. In this phase M&E is particularly crucial,

as the formally agreed or adopted framework policy now needs to be introduced in follow-on policies, legislation, budgeting and planning. This means that other institutional actors have a much larger role in the process, and the Core Team potentially has less direct influence over the outcome. Regular and systematic feedback should be received from implementing stakeholders through the established channels and mechanisms, which should then be analysed by the Core Team against the established results and process indicators; and readjustments should

made based on the identified challenges. Planning for impact-level monitoring and evaluation (against the overall mainstreaming objectives) should be finetuned and finalized during this phase. The mechanism for

impact-level monitoring may take the form of stakeholder meetings, questionnaires or comparison of baseline and target data. The results can then feed into a next policy cycle, which would benefit from strong evidence base.

### **These References and Tools are recommended for more detailed guidance on this Task:**

- *Framework Tasks Tool*  
- *Results-based Management Handbook: Harmonizing RBM concepts and approaches for improved development results at country level*<sup>56</sup>

## **Element 2: Resource and Capacity Assessment and Development**

### **Create detailed Implementation Plan on support/ coordination/ oversight by Core Team and Reference Group**

Since climate change mainstreaming was applied to a national-level urban framework policy, roles and responsibilities for the implementation of the mainstreamed climate actions would to a good extent need to be delegated to sectoral and sub-national implementation agencies. Depending on the action, implementation may mainly be the responsibility of local governments, in which case a national-level agency such as a Ministry of Interior or Department of Local Government may be responsible for ensuring that national- and local-level policies are aligned, and actions are implemented on the local level. In other cases, implementation may directly be in the hands of a national-level sectoral Ministry or Department, such as a Ministry of Public Works or a Department of Housing. Involvement of the Core Team and Reference Group following the adoption of the climate-

responsive policy framework will entail the successful handover of implementation to the agencies in charge of putting the policy actions into motion. Where appropriate in the country context, the Core Team may provide support to these agencies in various areas to ensure successful implementation – for example through providing capacity development support, technical support, resource mobilization support, and coordination and oversight. To this end, the development of an Implementation Plan can be helpful in structuring the way forward. The Implementation Plan should include a workplan for the various supporting activities - including a clear breakdown of tasks, indicators to monitor each of the activities, defined roles and responsibilities for stakeholders, and timelines for each of the activities.

### **These References and Tools are recommended for more detailed guidance on this Task:**

- *Framework Tasks Tool*  
- *Selecting Indicators Tool*   

### **Support resource mobilization for implementation of mainstreamed climate actions, considering domestic and international, private and public financing sources and mechanisms, and support measures to channel financial resources to sectoral and sub-national implementing bodies**

Prior to and throughout implementation, it is important to ensure that the entities stipulated to implement the mainstreamed climate actions have the necessary financial resources. Where appropriate in the country context, the Core Team should play a coordinating role to link different actors towards financing the mainstreamed climate actions. It may also be necessary for the Core Team to provide resource mobilization support, including capacity development to the end of accessing various international, bi-lateral and private sources of climate

finance. Further, (where appropriate) the Core Team can provide support to subnational implementing bodies by supporting the introduction of effective mechanisms for linking international climate finance accessed by national-level agencies to the local level. To structure the way forward for resource mobilization support, it may be helpful to develop a Financing Support Strategy that outlines the supporting activities of the Core Team, along with monitoring indicators and timelines for each of the activities.

### **These References and Tools are recommended for more detailed guidance on this Task:**

- *Framework Tasks Tool*  
- *Climate Finance Tool* 

### Develop capacities of sectoral and sub-national implementing bodies if mandated and needed (including on access to climate finance), and support institutionalization of capacity building processes where possible

If the mainstreamed climate actions are beyond the capacity of implementing entities, it may result in serious implementation gaps and policy failure. The Core Team should (as far as possible in the country context) therefore play a role in providing support through appropriate capacity development activities to ensure successful implementation. The type of capacity development will be determined by the capacity gaps and needs identified in the Capacity Gap Assessment conducted in Phase B: Formulation. Further, the Core Team can support capacity development for local governments to develop blended

financing mechanisms, so that they do not rely solely on national funding sources to finance local climate action. The Core Team may formulate a Capacity Development Strategy, with a task breakdown of capacity development-related activities; along with monitoring indicators, timelines and budget estimates for each of these activities. In the long-term, capacity development processes should be institutionalized. This institutionalization process may involve, for example, assigning appropriate agencies and protocols for capacity development activities.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *SWOT Tool*  

## ELEMENT 3: Urban and climate related policy alignment

### Oversee, encourage or assist sectoral ministries or government agencies to align existing policies and plans, or develop new ones in line with implementation objectives of the newly mainstreamed national-level urban policy/ies

Depending on the exact terms of reference and composition of the Core Team, implementation of this task would vary from case to case, but it should be based on the **Implementation Analysis** that the Core Team was recommended to prepare under Phase B, Element I.

While for some of the mainstreamed climate actions local-level implementation is essential, for others implementation by a national-level sectoral ministry or department may be

more appropriate. The Implementation Analysis should also have provided insight into the policy, legislative and administrative environment in which the mainstreamed climate actions will be implemented. Referring to this information, the Core Team may provide support and oversight to the sectoral implementing agencies to the end of developing or retrofitting sectoral policies and plans, ensuring alignment with the targets of the newly adopted climate-responsive urban policy.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  

### Mandate, encourage or assist local governments to align existing policies and plans, or develop new ones in line with implementation objectives of the newly mainstreamed national-level urban policy/ies

Similarly, whether the Core Team will support or carry out this task will depend on the Core Team's terms of reference, and the institutional structure identified in the Implementation Analysis.

The line Ministry or national-level agency in charge of aligning national-level urban policies with local-level policies, strategies and plans, and putting the policy actions into motion at the local level will be different in

each country (e.g. a Ministry of Interior, Department of Local Government etc.). The Core Team can, however, play a role in strengthening the vertical integration of policies, by encouraging the national-level agency in charge to mandate local governments to develop new policies and plans, or retrofit existing ones in alignment with the mainstreaming objectives of the newly adopted climate-responsive national-level urban policy. In some cases, the Core Team would be situated in the line ministry or agency

with responsibility for local governments and may play a more direct role in ensuring that the provisions of the national urban policy are implemented at local level.

In any case, clear roles and responsibilities for implementing the mainstreamed climate actions at the local level - in accordance with the country's level of decentralization

and institutional, human and financial capacity at sub-national levels - are essential. Importantly, government at sub-national level (together with other stakeholders and in coordination with relevant line ministries and national agencies) need to have not only clear instructions and mandates, but also sufficient resources and capacities to effectively implement the stipulated climate actions.

**These References and Tools are recommended for more detailed guidance on this Task:**

- *Framework Tasks Tool*  

## ELEMENT 4: Institutions and Stakeholders

### Facilitate delegation of roles and responsibilities to sectoral and sub-national implementation bodies

The implementation of mainstreamed climate actions should ideally build on existing projects and initiatives that are being undertaken at different governmental levels, and by different stakeholders. Where capacities are adequate, and local-level implementation is deemed appropriate for the specific climate action, the Core Team (if appropriate in the country context) can support the delegation of roles and responsibilities through the national-level agency in charge

of putting the policy actions into motion (e.g. the Ministry of Interior, Department of Local Government etc.). In other cases, a national-level sectoral ministry or department will be directly in charge of implementation. Likewise, where appropriate the Core Team can facilitate the assignment of roles and responsibilities for implementation to these agencies following adoption of the new climate-responsive policy.

**These References and Tools are recommended for more detailed guidance on this Task:**

- *Framework Tasks Tool*  

### Define roles and responsibilities for stakeholders, and facilitate institutionalization of coordination processes (e.g. development of standards and procedures for stakeholders) if possible

It is important that the Core Team ensures that relevant stakeholders in charge of implementation remain engaged in carrying out their respective responsibilities throughout the Implementation Phase. To set up a system of accountability, clear and transparent delegation of roles and responsibilities for stakeholders in implementing the mainstreamed climate actions may be outlined in the Implementation Plan. Individual Stakeholder Terms of References may also be formulated to define what each stakeholder is expected and authorized to do, as well as the timelines for implementing the climate actions they are responsible for. In the medium term, stakeholder coordination processes should be institutionalized by

assigning coordinating responsibilities to appropriate agencies and developing standards and procedures for stakeholders - including communication protocols, which consider how the mainstreaming objectives will be communicated and reiterated to the stakeholders, and how stakeholder feedback will be received. Throughout each of the policy implementation phases, multi-stakeholder participation should be encouraged, and feedback should be received to identify both the strengths and weaknesses in both the implementation process and outcomes, allowing for improvements to be made in future policy implementation cycles.

**These References and Tools are recommended for more detailed guidance on this Task:**

- *Framework Tasks Tool*  
- *Stakeholder Analysis Tool*  

## 2.5 PHASE D: EVALUATION (PROCESS AND OUTCOME)

A: Feasibility and Diagnosis	B: Formulation	C: Implementation	D: Evaluation
<p>As also highlighted in National Urban Policy: A Guiding Framework, monitoring should be continuous throughout the policy process. Standalone evaluations, on the other hand, should take place at key junctures throughout the process, allowing some time for the results of policy implementation to become apparent – for example at the end of each policy implementation phase or at certain time intervals - to see if mainstreaming has achieved its intended results, and what gaps remain going into the next policy cycle.</p> <p>As explained earlier, monitoring and evaluation should measure both whether or not mainstreaming objectives have been reached (the <b>results</b> of mainstreaming), and how the mainstreaming process did or did not help with achieving these objectives (the <b>process</b> of mainstreaming).</p> <p>In the interim and final evaluations, it is necessary to evaluate both</p>		<p>the results and the process of accomplishing all mainstreaming activities against the performance indicators established for the M&amp;E framework in the Diagnosis Paper under Phase A: Feasibility and Diagnosis. Based on the results of monitoring, it is possible to evaluate progress against the mainstreaming objectives, as well as strengths and weaknesses in the process of mainstreaming, and make necessary readjustments for future policymaking processes and implementation cycles. Evaluation can also include whether mainstreamed urban policy/ies aligned with targets, indicators, monitoring and review of international frameworks and if this led to advantages, such as country fulfilling its international obligations, having a stronger voice internationally or additional funding opportunities.</p> <p>The output is a number of <b>EVALUATION REPORTS</b> over time and based on feedback from relevant government institutions and other stakeholders.</p>	

### ELEMENT 1: Substantive Process

#### Evaluate if the mainstreaming process has been effective and inclusive

The substantive planning process, driven by the Core Team, involved a range of activities including identifying the climate change issues experienced in the country and deriving mainstreaming objectives; prioritizing climate actions for mainstreaming; and drafting the text of the new climate-responsive policy framework, ensuring that the climate issues and actions selected for mainstreaming are clearly reflected. It was emphasized that the needs and realities of a wide range of urban stakeholders - including those who are most vulnerable to climate change impacts - should be a key focus and core concern in determining the issues

and climate actions for mainstreaming. During the interim and final evaluations, there is a need to assess whether the planning process has been effective, and whether it has adequately reflected the voices and capacities of key urban stakeholders, including the beneficiaries of the policy and implementing agencies and institutions. Stakeholder feedback should be received through the established feedback channels and mechanisms, and the strengths and weaknesses identified should be documented to be fed back into future policy and planning processes.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

#### Evaluate if policy proposal sanctioned/ adopted or agreed upon by the respective oversight / decision-making bodies

In **Phase C: Implementation**, the Core Team was responsible for researching the process of urban policy approval in the country and seeing that the draft climate-responsive policy framework makes it through the process of sanction or agreement by the relevant oversight / decision-making bodies to be officially adopted. Using the

process indicators determined in **Phase A: Feasibility and Diagnosis** for the M&E framework in the Diagnosis Paper, during the interim and final evaluations there is need to assess whether this process was smoothly undertaken; and if the climate-responsive policy framework has been successfully adopted as a result.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

### Evaluate if the climate-responsive national urban policy has been operationalized with follow-on policies, legislation, plans etc.

Following adoption of the climate-responsive policy framework, the Core Team (where appropriate in the country context) played a role in providing instructions and support to implementing agencies, including ensuring that the policy is operationalized with follow-on policies, legislation, plans etc. This may have involved ensuring that local and sectoral policies and plans have been aligned with the targets and indicators of the new climate-responsive

policy, and that policy and legislation provides an enabling framework and environment for implementation of the mainstreamed climate actions. During the interim and final evaluations, there is need to assess whether this process has been successful, and to consider how follow-on policies, plans and legislative instruments can be adapted to better support implementation moving forward.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

### Plan or encourage evaluation of whether the mainstreamed/ new national urban policy has enabled implementation of urban-related climate change actions

Importantly, evaluation periods provide the opportunity to assess whether the mainstreamed climate actions are successfully being implemented, and whether they are on track to achieving their intended mainstreaming objectives. As described in Phase A: Feasibility and Diagnosis, there are different levels of indicators to measure the outcomes of implementation - output indicators that measure the tangible and intangible products that result from the policy (e.g. the number of municipalities implementing the mainstreamed climate actions), outcome indicators that measure the benefits that a policy is designed to deliver (e.g. positive impacts to beneficiaries from an improved urban drainage infrastructure system), and impact indicators that measure the higher-level goals and objectives that the policy is expected to achieve, over the longer term (in this case, the mainstreaming objectives). During interim

evaluations in the early stages of policy implementation, the impacts of the policy may not yet be apparent, and therefore measuring the immediate outputs and outcomes may be the only feasible method of evaluating progress. For the final evaluation at the end of the policy implementation cycle, however, it is important to include an impact-level evaluation to establish an evidence base to feed back into the next policy cycle. In addition to assessing the results against the mainstreaming objectives and indicators, some factors to look at include whether the results achieved can be sustained moving forward; whether climate and/or local-level conditions have changed enough to where a complete review of objectives and climate actions is necessary; and how the climate-responsive policy framework can be adapted to better meet the mainstreaming objectives for the following policy implementation phases.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

## Element 2: Resource and Capacity Assessment and Development

### Evaluate if capacity building had the desired impact and reached the right people

As explored in **Phase A: Feasibility and Diagnosis**, the Core Team and Reference Group require sufficient capacities and resources to carry out the mainstreaming process. During the evaluation periods, there is need to evaluate whether the leadership and capacities of institutions and individuals involved in the mainstreaming process have been sufficient to this end. There is also a need to evaluate

whether the capacities of implementing agencies have been sufficiently developed for successful implementation of the mainstreamed climate actions. Based on the results of this evaluation, there is need to consider how capacity development processes can be improved both for the mainstreaming process for future policymaking processes, and for future policy implementation cycles.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

### Evaluate if the climate-responsive national level urban policy has been aligned with local, national and global financing opportunities

In the evaluations, there is a need to look at whether implementing agencies were able to mobilize sufficient resources from international, national and private sources of climate finance to implement the mainstreamed climate actions; and to consider the challenges that implementing agencies on the national and subnational levels were faced with in the resource mobilization process. In particular, there is a need to consider whether local governments have achieved improved access to climate finance for implementing local climate action – i.e. whether effective

mechanisms been put in place to channel climate funding to the local level, and whether local government capacities been developed sufficiently to access various alternative sources of climate finance and develop blended mechanisms for financing. If financing objectives have not been achieved to satisfaction, there is need to consider how the Core Team, and/or the national-level agency in charge of local government capacity development (e.g. Ministry of Interior, Department of Local Government etc.) can provide better resource mobilization support moving forward.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

## Element 3: Urban and Climate Related Policy Alignment

### Evaluate if mainstreaming process of national urban policy/ies have fully considered existing sectoral and sub-national policies and legislation

The mainstreaming process introduced in this Framework has emphasized that wherever possible, the selection of appropriate climate actions for mainstreaming should consider existing sectoral and subnational policies and legislation, ensuring that policy alignment takes place both vertically and horizontally and allowing for greater collaboration in achieving common objectives and indicators. It has also been emphasized that implementation of the mainstreamed climate actions

should be synergized with existing plans and initiatives for greater efficiency. The interim and final evaluations provide the opportunity to assess whether the process of identification, mapping and analysis of relevant policies, plans and legislation was successfully undertaken, and whether there are opportunities to further harmonize and create more synergies between existing policies and processes moving forward.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

### Evaluate if mainstreamed urban policy/ies have been aligned with targets, indicators, monitoring and review of international frameworks

In addition to assessing alignment with sectoral and subnational policies, plans and legislation, evaluation periods provide the opportunity to assess whether the climate-responsive urban policy framework has been adequately aligned with the targets and indicators of urban- and climate-related international frameworks, such as the 2030 Agenda for Sustainable Development, the Paris Agreement, the Sendai Framework for Disaster Risk Reduction, and the New Urban Agenda. Importantly,

it is necessary to ensure that international targets and indicators have been aligned with national priorities and needs, for them to address the real climate change issues that local and sectoral stakeholders are experiencing on the ground. Evaluation periods provide the opportunity to reassess and consider whether any adjustments need to be made to this end, based on feedback received from key stakeholders.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

## ELEMENT 4: Institutions and Stakeholders

### Evaluate if institutional roles, responsibilities and coordination are clear and process is functioning

In Phase C: Implementation, the Core Team played a key role in establishing clear and transparent roles and responsibilities for institutional stakeholders in implementing the mainstreamed climate actions; clearly stating them in the Workplan and formulating Stakeholder Terms of Reference. The Core Team also (where appropriate in the country context) supported the institutionalization of coordination processes - assigning coordinating responsibilities to appropriate agencies, developing standards and procedures for implementing

stakeholders, and establishing feedback mechanisms so that the experiences and lessons-learned in the policy implementation process can be shared, and improvements can be made for future policy implementation cycles. Evaluation provides the opportunity to assess whether this process was successfully undertaken - to where implementing institutions are clear on their roles and responsibilities, and coordination processes are functioning effectively.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

### Evaluate if all key stakeholders have been meaningfully involved throughout, their resources were effectively incorporated, and their needs met

As highlighted throughout the mainstreaming framework, engaging a wide variety of urban stakeholders in the mainstreaming process is essential in order to address real climate change issues that people are encountering on the ground, with consideration to the capacities and realities of implementing actors. Evaluation provides the opportunity to assess whether various measures have been taken to ensure that meaningful participation of stakeholders has been sustained throughout the mainstreaming process, and whether this has adequately resulted in a sense of ownership and commitment among

stakeholders towards the implementation and outcomes of the climate-responsive urban policy framework. Other factors to consider are whether stakeholder participation has been institutionalized to encourage multi-stakeholder participation in both the policy formulation (mainstreaming) process and implementation; and whether the partnerships and networks formed throughout the various phases of the mainstreaming process can be strengthened and sustained to support future policy processes and implementation.

#### These References and Tools are recommended for more detailed guidance on this Task:

- *Framework Tasks Tool*  
- *Drafting Your Diagnosis Paper Tool*  

## Section 3:

# Tools and References – Short Summaries

### Climate Change Concepts

This reference document summarises and explains the main terminology linked to climate change, resilience,

disaster risk reduction and management and provides references to further materials.

- *Method Description* 
- *Information Sheet* 

### Climate Change Issues to Actions Tool

This is a reference document that aids in identifying climate change issues in your country, as well as possible policy solutions that are suitable in your country context, against the issues identified. The content is organized by urban sectors for the users' convenience. It further provides a simple, straight-forward method to convert issues to mainstreaming objectives, which can be used to help generate climate action options and to prioritize them; and ensures that the mainstreamed climate actions actually addresses the priority issues. Furthermore, it assists in determining indicators against each of the objectives, so that they can be measured, compared and used to help

assess climate action options. It assists with consideration to factors such as the impact of the policy solution on key stakeholders and their acceptance, alignment with national and international goals and targets, sectoral cross-benefits, and institutional factors such as feasibility of implementation from an administrative standpoint. The tool can also be used as a starting point when identifying the key urban stakeholders that should contribute to drafting the mainstreaming policy and implementing the climate actions; and when examining the preliminary costs and benefits of certain climate action proposals.

- *Method Description* 
- *Information Sheet* 
- *Checklist* 
- *Template* 

### Climate Finance Tool

This tool consists of an Information Sheet that outlines the international and domestic sources of and mechanisms for financing climate action and indicates whether and

how they can be used for urban related climate actions or are accessible to cities and local government.

- *Method Description* 
- *Information Sheet* 

### Drafting Your Diagnosis Paper Tool

This tool can assist you with deciding on the structure and content of the Diagnosis Paper, which is the tangible

output of Phase A: Feasibility and Diagnosis.

- *Method Description* 
- *Information Sheet* 
- *Checklist* 

## Framework Tasks Tool

This is the main accompanying Tool to this Regional Guide's climate change mainstreaming Framework. The Framework consists of many Tasks that have been clustered into Phases and Elements. The Overview Table on the two-page spread the middle of the Regional Guide gives a snapshot of the Framework in its entirety. Every Task is then briefly explained in Section 2 of the Regional Guide. The Framework Tasks Tool - Checklist, on the other hand, provides a detailed explanation of every Task together with Guiding Questions and References to other Tools and information sources - with methods for analysis or checklists for planning, implementation or monitoring and evaluation. The Framework Tasks Tool assists policy makers to tailor their own systematic approach to mainstreaming climate change issues into

- *Method Description* 
- *Checklist* 
- *Template* 

## Good Urban Governance Tool

The Good Urban Governance Information Sheet presents in more detail the different characteristics and dimensions of good urban governance and illustrates it with climate change related points. The Tool is a further elaboration of Section 1 of the Regional Guide and

- *Method Description* 
- *Information Sheet* 
- *Checklist* 

## International Frameworks Tool

The Information Sheet under this Tool introduces policy makers to the 2030 Agenda for Sustainable Development, the New Urban Agenda, the Paris Agreement, the Sendai Framework and the Addis Ababa Action Agenda. For each of the Frameworks, it outlines how they link to urban climate issues and how they encourage local climate action. In particular it looks at targets and indicators, review and reporting mechanisms, and possible capacity development or finance linkages. This tool assists in

- *Method Description* 
- *Information Sheet* 
- *Checklist* 
- *Template* 

national level urban policies. It takes the Overview Table as the starting point and guides the user in identifying an appropriate entry point for mainstreaming and then assists to systematically check which aspects the country has already covered, still needs to undertake, some that may not be applicable to the country-context and to add additional ones. The Template in this tool provides cards which will assist in ranking each of the Tasks by degree of completion, and developing your Process Timeline with all the Tasks that you will need to undertake. The Tool should be particularly useful for policy makers when they customise their mainstreaming process, but also would provide a companion when they work through their identified mainstreaming tasks one by one.

proposes different forms of how good urban governance can be brought into formulation of the urban framework policy. It also provides the user with a score card against which status quo in a given country can be determined.

locating your country's current position of ratification and implementation of international urban- and climate-related frameworks and processes, as well as their respective focal points and coordinating bodies, and various monitoring, implementation and follow-up mechanisms in the country. It also serves to identify the relevant urban- and climate-related global targets and indicators by urban sector, and to assess them against national policy targets to assess their conformity.

## Making the Case Tool

This tool assists in identifying the “entry points” for mainstreaming. This involves identifying the drivers, the motivation or the “triggering event” for the climate change

- *Method Description* 
- *Information Sheet* 

mainstreaming process, as well as reviewing what the country has already done in terms of mainstreaming and where it can possibly go from there.

## Selecting Indicators Tool

This tool is designed to help with two separate tasks. Firstly, it can assist you with defining indicators for your mainstreaming process (which you should monitor and evaluate and for which you therefore should develop indicators of success at the outset). Secondly, it can assist you with identifying and formulating effective

- *Method Description* 
- *Information Sheet* 

mainstreaming objectives and climate actions for the climate responsive national urban policy itself. The Information Sheet outlines some well-known approaches to developing effective indicators providing examples that have been adapted to the context of urban climate concerns in Asia and the Pacific.

## Stakeholder Analysis Tool

The tool assists in identifying important government actors from institutions needed for policy implementation and non-government stakeholders to engage for the mainstreaming, giving consideration to why each government institution and outside stakeholder would be needed for making policy implementation a success, why they would be interested in participating, what they can

- *Method Description* 
- *Information Sheet* 
- *Checklist* 

contribute to the process, and what kind of support they would need to effectively participate in the mainstreaming process – and crucially also in the implementation of the climate responsive urban policy. It also covers developing terms of reference for and potential institutionalisation of participation.

## SWOT Tool

Many tools exist to identify the Strengths, Weaknesses, Opportunities and Threats and references to some such tools and guidebooks are made. For the purpose of the Mainstreaming Framework a short, specially adapted SWOT tool has been developed to assist policy makers during Phase A: Feasibility and Diagnosis with assessing their availability and gaps in needed human, financial, informational, institutional and other resources. The tool is useful in gaining a picture of the institutional setup in which climate change mainstreaming will take place, as well as the government agencies and other institutional stakeholders that will be involved in the implementation of mainstreamed climate actions. Further, it helps to

- *Method Description* 
- *Information Sheet* 
- *Template* 

gain insight into factors can substantially impact the effectiveness of the mainstreaming process, e.g. the capacity needs and power relationships of relevant governmental agencies involved, and effectiveness of inter-agency coordination (Element II). The tool can also assist a preliminary assessment of institutional capacity and helping to identify areas for improvement. It can further serve to analyse a country’s national and sub-national policies and other documents vis a vis climate responsive urban development to identify entry points and priority needs for mainstreaming and to see how aligned those are to relevant international development frameworks (Element III).

# GLOSSARY OF TERMS

## Adaptation

Human driven, proactive adjustment to actual and/or expected climatic changes as well as their effects and impacts, seeking to moderate or avoid harm and exploit beneficial opportunities<sup>57</sup>.

## Adaptive Capacity

The ability of systems, institutions and humans, particularly through their available strengths and resources, to adapt and hence to maintain and improve their situation in response to consequences of climate change<sup>58</sup>.

## Capacity Building

The practice of enhancing the capacity of systems, institutions and humans and thus increasing their strengths and resources to response to (climate) change<sup>59</sup>.

## Climate

The state of the climate system, i.e. the long-term average weather, usually in a period of 30 years, defined by the description of mean and variability of climate variables such as temperature, precipitation and wind<sup>60</sup>.

## Climate Change

The change in the state of the climate that persists for an extended period (decades or longer), which is related to natural internal processes or external forces such as the persistent anthropogenic changes in the composition of the atmosphere or land use and land use changes, among others<sup>61</sup>.

## Climate Justice

The concept that climate change is not caused by all population groups equally, and that its impacts affect different population groups differently. While richer population groups usually cause more emissions due to their life and consumption styles, poor or otherwise marginalized population groups are often disproportionately affected because they live and work in risky locations and have scarcer resources to prepare, withstand and recover from impacts.

## Climate Change Mitigation

The process of human interventions to reduce the sources or enhance the sinks of greenhouse gases to prevent future climate change and its adverse impacts<sup>62</sup>.

## Climate Proofing

The assessment of the viability of interventions and investments for the background of their effectiveness to withstand and reduce climate risks<sup>63</sup>.

## Disaster

A serious disruption of the functioning of a community or a society involving widespread human, material, economic or environmental damages, losses and other impacts, which exceeds the ability of the affected community or society to cope with this event by using its own resources and thus may require external support for recovery<sup>64</sup>.

## Disaster Risk Management (DRM)

The process of using administrative directives, organizations, and operational skills and capacities to plan, implement and evaluate strategies and policies, and thus build capacities to lessen the adverse impacts of hazards and the possibility of disaster<sup>65</sup>.

## Disaster Risk Reduction

The concept and practice of reducing disaster risks through systematic efforts to analyse and manage the causal factors of disasters, including through reducing exposure to hazards, lessening vulnerability of people, infrastructure, institutions and other systems, improving preparedness for adverse events and ultimately improving climate resilience<sup>66</sup>.

## Exposure

The extent to which people, livelihoods, ecosystems, including their resources, functions, and services, infrastructure, or economic, social, or cultural assets are present in places and settings that are in the reach of or subject to a hazard and could therefore be adversely affected<sup>67</sup>.

## Extended Producer Responsibility (EPR)

Is the concept where manufacturers and importers of products bear a significant degree of responsibility for the environmental impacts of their products throughout the product life-cycle, including upstream impacts inherent in the selection of materials for the products, impacts from manufacturers' production process itself, and downstream impacts from the use and disposal of the products. Either producers design their products to minimise life-cycle environmental impacts or they accept legal, physical or socio-economic responsibility for environmental impacts that cannot be eliminated by design<sup>68</sup>.

## Governance

Governance refers to structures, culture, institutional environment and processes that serves to exercise political and administrative authority to manage a

<sup>57</sup> drawing on LEG (2011) and IPCC (2014)

<sup>58</sup> drawing on Gallopín (2006) and IPCC (2014)

<sup>59</sup> drawing on IPCC (2014)

<sup>60</sup> drawing on WMO (2017) and IPCC (2014)

<sup>61</sup> drawing on IPCC (2014)

<sup>62</sup> *Ibid.*

<sup>63</sup> drawing on Asian Development Bank (ADB) (2005)

<sup>64</sup> drawing United Nations Office for Disaster Risk Reduction (UNISDR) (2009) and IPCC (2014)

<sup>65</sup> *ibid.*

<sup>66</sup> *ibid.*

<sup>67</sup> adapted from IPCC (2014)

<sup>68</sup> adapted from Organisation for Economic Co-operation and Development (2018).

country's public affairs and in which citizens and groups interact among themselves to articulate their interests, exercise their legal rights and meet their obligations<sup>69</sup>.

### Input indicators

Monitoring indicators that measure the resources that are applied to the policy or implementation process, such as financial, technical and human resources.

### Impact indicators

Monitoring indicators that measure the higher-level goals and objectives to which the policy will contribute, such as improved climate justice for the urban poor, or overall reduced carbon emissions from urban activities.

### Livelihood

The resources used, and the activities undertaken, usually determined by the entitlements and assets (human, social, natural, physical, or financial) to which people have access to, as means of making a living<sup>70</sup>.

### Loss and Damage

Loss and damage refers to negative effects and residual impacts resulting from climate variability and -change that people have not been able to mitigate, cope with or adapt to<sup>71</sup>.

### Mainstreaming

The integration of objectives, strategies, policies, measures or operations of one theme (e.g. climate change), one level (e.g. national policy level) or another element (e.g. space, stakeholder, time) into another theme, level or stage such that they become part of this element at all levels and stages and thus are not at odds with it<sup>72</sup>.

### Maladaptation

Adaptation action or process that may unintendedly lead to increased risk of adverse climate-related outcomes or diminished welfare, at any point after the implementation<sup>73</sup>.

### National Urban Policy

A framework policy document to guide urban development, providing an overarching framework for coordination of different sectors and tiers of government to address urban challenges and maximize the benefits of urbanization. Functions as an "umbrella policy" that regulates and directs or coordinates other developmental and public policies on integrated urban-related matters.

### Outcome indicators

Monitoring indicators that measure the benefits that a policy is designed to deliver, such as increased awareness of climate change impacts among local level actors.

### Output indicators

Monitoring indicators that measure the tangible and intangible products that result from the policy, e.g. the number of local governments that have local climate action plans in place.

### Polluters Pay Principle

Is the commonly accepted practice that those who produce pollution should bear the costs of managing it to prevent damage to human health or the environment. It was laid out as Principle 16 in the 1992 Rio Declaration<sup>74</sup>.

### Resilience

The capacity of a system (social, economic, structural and environmental) to cope with a hazardous event or trend by responding or reorganizing in ways that maintain their essential function, capacity, structure, and feedback and thereby absorb the occurring disturbance<sup>75</sup>.

### Risk

The potential for and probability of harm and the expected consequences or particularly the levels of loss and damage that result from the interaction of hazards, climate change or other disturbances with vulnerable groups<sup>76</sup>.

### Sustainability

Process or development that meets the needs of the present without compromising the ability of future generations to meet their own needs, thereby guaranteeing the persistence of natural and human systems in an equitable manner<sup>77</sup>.

### Systems-Thinking

The process of understanding how the systems of people, institutions, and physical infrastructure (in the urban context) influence one another within the larger urban system.

### Urban Heat Island

The relative warmth, i.e. higher air and surface temperatures, of a city compared with surrounding rural areas, associated with changes in runoff, effects on heat retention, and changes in surface albedo<sup>78</sup>.

### Urbanization

Process that describes the increase of the proportion of the urban population to the total population over time, which results in the growth, and increase in number and density of cities<sup>79</sup>.

### Vulnerability

The predisposition of an element or system (social, economic, structural and environmental) to be adversely affected and thus suffer harm, loss and damage by hazards, climate change or other disturbances, as a result of exposure, susceptibility and the lack of resilience<sup>80</sup>.

<sup>69</sup> adapted from UNDESA, UNDP and United Nations Educational, Scientific and Cultural Organization (UNESCO) (2012) and UNESCO (2017)

<sup>70</sup> adapted from International Federation of Red Cross and Red Crescent Societies (IFRC) (2017) and IPCC (2014)

<sup>71</sup> adapted from Warner et al. (2012)

<sup>72</sup> adapted from Lim and Spanger-Sieghed (2005) and UN-Habitat (2015a)

<sup>73</sup> adapted from IPCC (2014)

<sup>74</sup> adapted from United Nations (1992)

<sup>75</sup> adapted from IPCC (2014) and Walker et al. (2004)

<sup>76</sup> adapted from UNISDR (2009), Wisner et al. (2004) and IPCC (2014)

<sup>77</sup> adapted from World Commission on Environment and Development (1987) and IPCC (2014)

<sup>78</sup> adapted from IPCC (2014) and UN-Habitat (2011)

<sup>79</sup> adapted from United Nations Children's Fund (UNICEF) (2012) and United Nations (1997b) al. (2004)

<sup>80</sup> adapted from Cardona (2004), Birkmann et al. (2013), Wisner et al. (2004) and IPCC (2014)

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GUIDE



METHOD



INFORMATION



CHECKLIST



WORKSHEET

Climate Change and National Urban Policies in Asia and the Pacific is a regional guide for mainstreaming climate change into national-level urban-related policies, strategies, frameworks, legislation and institutions. Applying a flexible and non-prescriptive approach, this Guide suggests methods and steps for mainstreaming that countries can select based on their respective circumstances, under a framework of “Phases” and “Elements” that serve as the building blocks of the mainstreaming process. Within each of the Elements, which are aligned and consistent with phases of UN-Habitat’s National Urban Policy process, concrete actions covering various policy aspects are proposed to ensure effective mainstreaming; ranging from the substantive planning process, capacity development, vertical and horizontal policy alignment to multi-stakeholder participation. The Guide is supported by online tools and references, which include a training package to provide easier access to the complex issues covered. This publication and all related documents can be accessed from [www.fukuoka.unhabitat.org/cc\\_nup](http://www.fukuoka.unhabitat.org/cc_nup)