

Framework Tasks Tool (TT)

1. METHOD DESCRIPTION

Objective

The Mainstreaming Framework presented in the Regional Guide consists of many tasks that have been clustered into Phases and Elements. The Overview Table in the middle of the Regional Guide gives a snapshot of the framework in its entirety. Each of the tasks is then briefly summarized in Section 2 of the Regional Guide. This tool provides a more detailed explanation of each task, along with guiding questions, and references to tools and other information sources. It is particularly useful for policymakers when they customize their mainstreaming process, and will also provide guidance when working through the identified mainstreaming tasks one by one.

When to use

This activity mainly supports the following task:

Phase/Element	Element I: Substantive Process	Element II: Resources and Capacities	Element III: Policies	Element IV: Institutions and Stakeholders
Phase A: Feasibility and Diagnosis	✓ Customize your mainstreaming process using this Framework (HOW) – creating Process Timeline			
Phase B: Formulation				
Phase C: Implementation				
Phase D: Monitoring and Evaluation				

However, it can be useful reference at any stage and can be revisited, adapted and expanded during any phase

Spatial Set-up

Depending on group size and whether to be done using paper or card board versions of the Task Cards and on white boards, manila paper, a wall or the floor – or with the aid of a computer (and projection onto a larger screen)

Group Size

This tool can be used individually, in small groups (e.g. 4 – 6 persons) or in a larger plenary setting (e.g. 20 – 30 persons)

Time

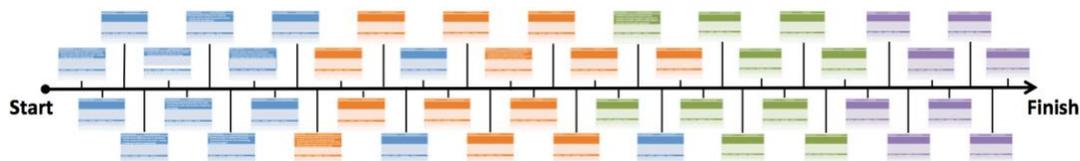
Minimum 2 hours to map your entire mainstreaming process with all tasks for each relevant Phase and Element (minimum 3 hours in larger group setting with discussions)

Materials

- **Overview Table of Mainstreaming Framework** in Regional Guide
- Section 2 Regional Guide
- **Framework Tasks Tool CHECKLIST**
- **Framework Tasks Tool TEMPLATE**
- Prints of the above documents and pens/markers, OR
- Computer

Instructions

- **Step 1:** Guided by the Overview Table inside the main Regional Guide, identify which tasks you want to undertake for your mainstreaming process.
- **Step 2:** Review the tool: **Framework Tasks Tool CHECKLIST** which describes each task in more detail and provides guiding questions and further references where more information can be found, to ensure that you understand thoroughly what each task entails.
- **Step 3:** The tool: **Framework Tasks Tool TEMPLATE** provides you with 4 Task Card templates, color-coded according to the corresponding Phase of the Mainstreaming Framework, which you can duplicate and fill in with the tasks in the Mainstreaming Framework **Overview Table** that you want to undertake. Each card indicates the Phase and Element of the task, has additional space for comments and a table at the bottom for rankings. It also indicates the page number of the tool: **Framework Tasks Tool CHECKLIST** to refer to for more information about the task. Only prepare Task Cards that are relevant for your mainstreaming process
- **Step 4:** Align the Task Cards along a Timeline (prepare a ‘timeline prop’ according to your needs – it can range from a simple line showing weeks and months on your computer to a piece of string attached to a wall). Layout entire mainstreaming process first (considering all relevant Phases and Elements) to create a rough visual overview of the entire mainstreaming process before delving into details. A finished Timeline for your mainstreaming process using this Guide’s Framework, could look something like this:



Note: While the Task Cards will likely follow Phase by Phase, the Framework is only loosely sequential and so some tasks from one Phase in the Framework may be better placed earlier or later in your own mainstreaming process, or be undertaken more than once at several junctures.

- **Step 5:** Once the mainstreaming process has been laid out, you can add further information at any stage into the free space below the task description and into the bottom table on each Task Card. These might include factors such as:

- Ranking importance of the task (priority, necessary, desirable)
- Level of completion (started, in process, completed)
- Identifying the main responsible entity, who will assist and how (task manager, core team, reference group)
- Identifying resource and capacity development needs (information sharing, budget, training etc.)
- Any other considerations you would like to add to your task cards
- More detailed sub-tasks can be assigned using extra Task Cards or notes

Tips & Variations

- This tool can be used individually (in particular to aid initial diagnosis), in a small group, or in a larger group setting (especially as this is a useful visual aid to build consensus)
- This exercise can either be done on a computer while projecting it onto a large screen, or by printing the Task Cards and laying the process timeline out on the ground or on a wall.
- If you print the Task Cards, you should consider printing them bigger for larger group setting, so everyone can read the content from a distance – it is also recommended to print in color, so everyone in the group can easily identify the Phase of the Mainstreaming Framework
- For a group setting, it is advantageous if everyone has a copy of or easy access to the Regional Guide and the tool **Framework Task Tool CHECKLIST**. At the very minimum, everyone should have access to the Mainstreaming Framework **Overview Table**.

Framework Tasks Tool

2. CHECKLIST

Phase A) Feasibility & Diagnosis	Element 1) Substantive process
Identify drivers (WHY) you want to mainstream climate action into urban policy - make your case for mainstreaming	
<p>As you embark on the mainstreaming process, you should have clarity and agreement on WHY you need to mainstream climate change concerns into national-level urban policies. In other words, you want to find the triggering event or driver, as well as the motivation to embark on the climate change mainstreaming process.</p>	
<p>Such triggers or drivers can be either internal or external, or a combination of both. Internal drivers may include a change in government priorities, e.g. with change of personnel after elections or the adoption of some framework act or law. External drivers can include extreme events that hit a country's urban area(s) – or that indirectly affect the urban economy, for example through supply chain interruptions. This in turn can trigger internal demand for action. It can be International Frameworks that the country has signed up to, as in the case of the Paris Climate Agreement or the 2030 Agenda for Sustainable Development, which then stipulates or encourages national and sub-national policy and action. Often, it would be a combination of pressures for mainstreaming building up, perhaps in combination with one triggering event that can provide an opportunity to introduce climate change concerns into policy.</p>	
<p>Beyond understanding the drivers, it is vital to understand the motivation of key actors. This allows policymakers to choose the most strategic entry points, and define the scope and details of the process for mainstreaming climate change. Mainstreaming can either be driven by conviction or imposed on institutions and stakeholders. Knowing the motivation will help in choosing the appropriate mix of climate actions and linked enforcement mechanisms, such as information, incentives and regulation. It also helps in finding potential allies and “champions” for the mainstreaming process – persons, institutions and organizations that would have a strong interest in mainstreaming climate change, and are ready to take ownership. Meaningfully and systematically involving these champions from the very beginning is crucial in order to successfully lobby for financial, technical and legislative assistance for the mainstreaming process – and ensure smoother implementation later.</p>	
<p>Understanding WHY you are mainstreaming, WHO your allies are, and WHAT the general interest for mainstreaming climate change concerns into urban-related policies is also helps you to strategically judge what form and degree of mainstreaming would most realistically be implemented. This entails deciding whether you should choose a systemic or specific mainstreaming approach (and therefore also into which policy document to mainstream, or whether to lobby for formulation of a new overarching National Urban Policy). It entails deciding whether you should introduce climate change responsive language and policy actions into all parts of a national-level urban-related policy, or into select ones (for example where climate change is a national priority), or if you should opt for a dedicated climate change chapter within your national urban policy framework. It enables you to identify your country's focus and priorities vis-à-vis climate change mitigation and adaptation actions and also, to decide in what cases you aim for climate change aware, sensitive, or transformative actions.</p>	
<p>In a nutshell, asking WHY at the beginning enables you to make the strongest possible case for mainstreaming.</p>	
Guiding questions:	

- Is the country looking to develop a new national-level policy with climate targets or urban implications?
- Has an acute climate impact or event occurred or pressure from a slow-onset change built up to intolerable levels (e.g. a disaster, or tipping point)?
- Has the country adopted international commitments on climate change or urban issues?
- Are there potential new opportunities for financing, or donor interest involved?
- Are there any other drivers?
- What is the country looking to achieve through the mainstreaming process?
- Should a systemic, specific or alternative mainstreaming approach be taken?
- Is it feasible to mainstream climate change into each element/ chapter of the policy framework (legislation, urban planning design, housing, infrastructure and basic services amongst others) or parts or aim for a dedicated climate change chapter?
- What level of climate change mainstreaming is desired and/or feasible (aware, sensitive, transformative)?

Further Tools & references:

- **Making the Case Tool** 
- **Climate Change Issues to Actions Tool** 
- Gender and Urban Climate Policy: guidance document suggesting principles and priorities for gender-sensitive climate policies in urban areas. The entry point is local level policy and planning, but the issues and linkages are helpful for mainstreaming considerations at national level. [LINK](#)

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

The identification and analysis of the urban-related climate change issues in your country, and the subsequent development of mainstreaming objectives and derived climate actions is one of the central aspects of the entire mainstreaming process. As such, you will return to this task repeatedly - analyzing various aspects, looking at each in more detail and identifying inter-linkages. Please note that terminology and processes vary from country to country, and the terms used here should be adjusted to your domestic policymaking environment.

During **Phase A: Feasibility and Diagnosis**, you will start mapping out the issues, objectives and potential actions and then delve into deeper analysis of each jointly with the other involved government institutions and with key non-government stakeholders. The tangible output of Phase A is a **Diagnosis Paper** in which you would present your analysis of urban-related climate change concerns in your country and propose mainstreaming objectives. You will also already outline possible climate actions to address the mainstreaming objectives in this Paper. This is in preparation for **Phase B: Formulation**, where you concretely draft the climate change-related text, newly formulating or revising your national level urban policy. In order to be successful in Phase B, and also to have everyone on board for **Phase C: Implementation**, you need to do a lot of ground work – collecting evidence and preparing a strong overall outline for the climate responsive framework policy.

Climate change issues include the **impacts of cities on climate change** by all kinds of activities that cause greenhouse gas emissions (such as transport, heating and cooling, manufacturing etc.) or reduce the environment's capacity to absorb carbon dioxide (for example through deforestation as urbanites consume a significant proportion of the wood itself, as well as the food grown and the animals raised on land that used to be forest). This in turn leads to climate change and its related impacts, such as sea-level rise and changes in weather patterns.

On the other hand, climate change issues also refer to the **impacts of climate change on cities**. An example of a **direct impact** on cities is more severe urban flooding due to an increase of severe weather events with heavy rainfall. An example of an **indirect impact** would be rise in food prices as climate change induced droughts lead to failed harvests. Climate change impacts on cities can be of a slow, gradual nature (for example sea-level rise). These are called **slow-onset** climate change impacts. Impacts can also be short, sharp shocks or **extreme** events (such as heat waves or a devastating typhoon). Apart from looking at impacts as being ON or OF cities, another key consideration of how climate change issues play out in cities is whether a city's urban infrastructure (for example roads, flood walls, drainage), its building stock, the socio-economic situation of its population (for example pockets of poverty and vulnerability) or its institutions (for example weak, uncoordinated governance) are built or set up in a way that exacerbates the impacts of climate change, and sets a city up to accumulative and more severe impacts than necessary. As an example, clogged drains and sealed surfaces would increase the impact of flooding. Such urban **vulnerabilities** may be due to historical developments blind to the potential impacts of climate change or more recent **mal-adaptations**, or due to developmental challenges such as poverty, inequality or discrimination.

In this context, it is also important to emphasize that climate change is not caused by all population groups equally and that its impacts affect different population groups differently. Richer population groups usually cause more emissions due to their life- and consumption- styles, while poor or otherwise marginalized population groups are often disproportionately affected because they live and work in risky locations (and with lack of access to adequate housing, infrastructure and services) and have scarcer resources to prepare, withstand and recover from impacts. When looking at monetary costs, it is often businesses that encounter the largest loss and damage, however, loss and damage of livelihoods and housing hit the poor hardest. There is therefore a strong need to gain a thorough, evidence-based, disaggregated understanding of the climate change issues that various urban stakeholders are causing and/ or encountering, and a climate change responsive framework policy should take into account these considerations of **climate justice** – in mitigation, adaptation and loss and damage policies.

The **Climate Change Concepts** tool provides a comprehensive overview of climate change concepts and terminology, climate change impacts on urban areas in the Asia Pacific region, and vulnerable groups of people.

As part of the mainstreaming process, you are encouraged to initially identify the climate change issues. Subsequently, in order to prioritize climate action options, it is recommended that you weigh factors such as the impact of the solution on key stakeholders, alignment with national and international goals and targets, costs of non-action, sectoral cross-benefits, potential risks, and feasibility of implementation.

Without aiming to be comprehensive, most of the typical impacts are listed in the **Climate Change Issues to Actions Tool INFORMATION SHEET**. You are invited to use this tool to identify which issues or concerns are relevant in your country context, to add those that are not listed there and to identify which ones are of priority concern for mainstreaming into your national-level urban-related policy or your National Urban Policy.

Once you have identified, analyzed and prioritized the climate change issues and concerns, the next step is to identify corresponding **mainstreaming objectives** (with clear and measurable **indicators** – for guidance see the **Selecting Indicators Tool**). These are the ultimate goals or results that you strive to achieve by introducing your climate responsive national-level urban policy. The mainstreaming objectives collectively should represent a pathway towards low carbon and resilient societies. The **Climate Change Issues to Actions Tool INFORMATION SHEET** provides examples of mainstreaming objectives linked to different issues and sectors.

Once you have defined mainstreaming objectives, you can move on to proposing **climate actions**. These are specific initiatives – such as plans, programmes, projects and activities that clearly contribute to the identified and prioritized mainstreaming objectives, and their progress which can be measured by the indicators established as part of the definition, prioritization and drafting of objectives. It may seem obvious that there needs to be consistency between proposed mainstreaming objectives and climate actions, but often this is challenging to achieve in practice. Thus, before choosing actions to be included in the new mainstreamed policy, there is need to ensure that you have considered factors such as the action’s implementation process and time, all costs to be covered (including by whom, how and how much), human and technical capacity (including how to involve key institutions and stakeholders), alignment of legal and regulatory frameworks, and provisions for policy evaluation. This is to ensure that the action is drafted in a way that is inclusive of all necessary dimensions to secure its implementation.

The relationship between objectives and actions is not necessarily one to one. One action can contribute to achieving one or more objectives. On the other hand, several climate actions may be necessary to achieve one objective. Also, any action may carry with its co-benefits for development more generally; or lend itself to be applied synergistically with other actions. However, there can also be trade-offs between individual actions or between objectives, which is why it is important to analyze the wider system of people, institutions, and physical infrastructure to ensure an action does not lead to **mal-adaptation** or negative repercussions on other policy goals (for example poverty eradication or job creation). Undertaking such an integrated analysis means approaching urban-related climate action from a **systems-thinking** perspective.

Moreover, each climate action should have appropriate and effective **policy instruments** embedded to ensure the right implementation capacities, incentives or enforcement options. Such policy instruments can take a variety of forms, which are presented in more detail in the **Climate Change Issues to Actions Tool**.

Guiding questions:

Climate change issues:

- What are the urban-related climate change issues in your country?
- What (systems, infrastructure) and who (populations, institutions) is affected/ impacted by them and how?
- What are therefore the priority climate change concerns that need to be addressed?
- What is the impact/ cost of non-action (linked to economic prosperity, social inclusion and justice and environmental sustainability)?
- Are any of these issues covered in National Adaptation Policies (NAPs), Nationally Determined Contributions (NDCs) or other national level climate policies?
 - If yes: do urban-related Ministries and sub-national government have enough say in implementation/ do they receive the needed resources/ have the necessary capacities?
 - If no: why not? And shouldn't they be? How can they be brought in more prominently?

Mainstreaming objectives:

- What mainstreaming objectives would address the respective climate change concerns?
- How would such objectives affect different population groups, economic interests, the environment?
- What would be good indicators for measuring progress of a particular objective?

Resulting climate actions:

- What are some possible climate actions to address all the mainstreaming objectives?
- Who are the key stakeholders that will contribute to each of the potential actions?

- What are the costs and benefits of the respective climate actions?
- What is the impact of the climate action on key stakeholders, including on vulnerable groups?
- What are the reactions of stakeholders to such a proposed climate action?
- What are some potential adverse impacts of the climate action (i.e. in fixing one problem, is another one created or is another existing problem made worse)?
- Are there any concerns with the administrative ease of implementation of the climate action, or the capacity of government agencies to implement?
- What are the best implementation mechanisms for each climate action?
- What are the inter-departmental or sectoral impacts or cross-benefits from the climate action?
- What are the “quick-win” or “low hanging fruit” climate change actions or those with the biggest co-benefits?
- How does ease of implementation and higher political pay-off from such “easier implementable actions” compare to overall impact and priorities?
- To what degree is the climate action consistent with other relevant government policies, procedures and regulations? Are there any other legislative considerations?
- What are the potential risks associated with a concrete climate action?

Further Tools & references:

- **Climate Change Concepts Tool** 
- **Climate Change Issues to Actions Tool** 
- **Selecting Indicators Tool** 
- Quick Guide for Policy Makers: Pro-Poor Urban Climate Resilience in Asia and the Pacific, pp. 21-23, [LINK](#)
- Addressing Climate Change in National Urban Policy: A Policy Guide for Low-Carbon and Climate-Resilient Urban Development [LINK](#)
- Addressing Climate Change Impacts on Infrastructure (USAID, 2013): Provides detailed information about climate impacts on specific infrastructure categories and lists potential adaptation measures [LINK](#)
- Climate Risk Screening and Management Tool (USAID,2017): A guiding tool that assists planners with assessing and addressing climate-related risks, includes good systematic analysis and links to further resources, but not specific to urban areas [LINK](#)

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

As already mentioned, this **Mainstreaming Framework** by necessity is generic and flexible, and is intended to assist countries in designing their own, individualized, tailor-made mainstreaming process according to their country context and needs. The mainstreaming process will also require quite a bit of reiteration for various tasks to bring in new actors and new information, to keep issues aligned, and to keep relevant institutions and stakeholders informed and in broad agreement.

The purpose of this task is to first familiarize the **Core Team** (i.e. the policy makers leading the mainstreaming process) with the Guide’s entire Mainstreaming Framework at a glance. For this it is recommended that the Core Team acquaints itself with the **Overview Table** (presented as a double spread in the middle of the Regional Guide), understanding all proposed tasks throughout all the Phases and Elements. A summary of each task of the Overview Table can be found in Section 2 of the Regional Guide, while a more detailed explanation for each task is provided here in the **Framework Task Tool CHECKLIST**, which also includes links to further tools and

references. The Core Team identifies 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).

Subsequently, the Core Team determines what Tasks from the Overview Table should be implemented, and in what order. Not every Task proposed may be necessary or appropriate for a country's tailor-made mainstreaming process. On the other hand, there may also be a need to add tasks that are not presented within this Framework but are important in the country context. Last but not least, the Core Team may decide to include some tasks into their tailor-made timeline several times (e.g. thematic documents would first need to be collected and their usefulness diagnosed at a superficial level, later to be analysed in more depth; and alignments need to be discussed with respective institutions and stakeholders. In this case, only after several steps can recommendations be drafted in the **Diagnosis Paper**). The output of this activity is a rough sequence of planned tasks along a preliminary timeline, using the Task Cards provided in **Framework Tasks Tool TEMPLATE**.

It is recommended that the Core Team returns to the results of this customized mainstreaming process again and again, adding, changing and adjusting tasks; and also adding more details as to how long a certain task will take and what capacities and resources are needed, and defining who would be responsible for a task and who else should participate and in what form. It can also be very helpful to first undergo this process internally with the Core Team – and then present the result to a wider group of institutions and stakeholders in order to elaborate and adapt it. In this sense, the customized timeline remains a living document that the Core Team can use to develop more detailed plans for undertaking the mainstreaming process and against which to also check progress.

As mentioned, in order to undertake this task (which can be done individually or collectively in a workshop setting, and which should be revisited periodically), policy makers can refer to the **Overview Table** inside the Regional Guide, as well as the brief explanations of the tasks in Section 2 of the Regional Guide, and to this **Framework Tasks Tool CHECKLIST**, which provides a more detailed explanation, guiding questions and further references and tools for each task. The **Framework Task Tool** also contains a **METHOD DESCRIPTION** with instructions and illustration of what such a timeline with tasks can look like) and **TEMPLATE** (cards with each task) with the assistance with which the Core Team can organize their exercises to customize their mainstreaming process.

Guiding questions:

- Are you starting a mainstreaming process or is the process already ongoing?
 - If you are starting, you can work through the Mainstreaming Framework in its entirety to see what suits your country and mainstreaming context
 - If your process is ongoing, still have a look at all the tasks as you may still want to implement some tasks from Phase A, even if you are currently already in Phase B.
- After having familiarized yourself with the Overview Table:
 - Are there any tasks that do not fit your country context? And if they don't fit, can/ should they be adapted in some way or simply ignored?
 - Are there tasks that your mainstreaming process needs that the Overview Table does not propose?
 - In what sequence would you do all the tasks of your mainstreaming process?
 - Which tasks would require periodic reiteration – and what would the focus of such an iteration be and who should be included each particular time the task is undertaken and with whom should the results be shared?
- What will be a good way to communicate the outcome of your customized mainstreaming process to management, political decision makers, involved or affected institutions and other key stakeholders?

Further Tools & references:

- **Framework Tasks Tool**   
- Project Country Case Studies to see what steps and tasks these pioneering countries in Asia and the Pacific have undertaken during their process: Bangladesh , Myanmar , Philippines , Sri Lanka , Solomon Islands , Viet Nam 

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

Monitoring and evaluation provide the opportunity to review the process and progress of mainstreaming at all stages, and to identify any shortcomings. There are various approaches to undertaking policy and programme evaluation, but most common nowadays is a results-based monitoring and evaluation framework.

Many countries have standardized monitoring and evaluation (M&E), as well as reporting procedures to measure and report on the progress of policy development and implementation. If you have a standard M&E template and process, there is need to check whether it has the characteristics of a “good” M&E process as briefly explained below, and if not, what options there are for the inclusion of such characteristics.

A first 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** (see Phase A, Element 4) 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.

Also, there is need to check at what “levels” your existing M&E framework measures progress. It is typical for many results-based monitoring processes to adopt four different levels of **indicators**: input, output, outcome and impact indicators. **Input indicators** measure the resources that are applied to the policy or implementation process, such as financial, technical and human resources. **Output indicators** 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. **Outcome indicators** measure the benefits that a policy is designed to deliver, such as increased awareness of climate change impacts among local level actors. **Impact indicators** measure the higher-level goals and objectives to which you hope your policy will contribute, such as improved climate justice for the urban poor, or overall reduced carbon emissions from urban activities.

You should also pay attention to whether the M&E framework, beyond measuring results (outputs, outcomes, goals) also measures or collects information on the quality and effectiveness of the **process** of planning, drafting and implementing a climate responsive national urban policy/ies – to understand whether or not, and what specifically in the process did or did not help with achieving the mainstreaming objectives.

Indicators play a role by helping to outline policy goals in specific terms, monitoring progress, and providing feedback to managers and the public¹. As mentioned above, indicators can be developed for inputs, outputs, outcomes and impact levels. For the mainstreaming process, it would be good to have both the more immediate ways of measuring progress through inputs and outputs and receiving feedback on the inclusiveness and effectiveness of the process itself, and also indicators for “impact” that can show if the ultimate objectives the policy is aiming for have been achieved. While the first can be measured throughout the mainstreaming

¹ https://www.iisd.org/pdf/2006/measure_use_indicators.pdf, pp. 5-8

process and shortly afterwards, the latter would have a time delay of possibly several years. The party with the ultimate responsibility for achievement of mainstreaming objectives would also depend on country context, and may not be within the purview of the Core Team undertaking the policy mainstreaming process.

A good way to think about your indicators is to use the “SMART” Indicators framework, which stands for Specific, Measurable, Attainable, Relevant and Time-bound indicators. Good indicator frameworks take some effort to develop, but as a result, progress can be measured against them more easily later. A good indicator framework should include well-formulated indicators, with a baseline and the targets that need to be reached. It should also include the role of other institutions and stakeholders and provide an indication of resources needed to reach the targets. How exactly to formulate indicators for your mainstreaming process will depend on your national policy context and what kind of M&E framework you use. The **Selecting Indicators Tool** has been prepared for you in case you wish further guidance. The **Drafting Your Diagnosis Paper Tool TEMPLATE** also includes guidance on developing an M&E framework for monitoring and evaluation of the mainstreaming process itself.

Should the Core Team not have a standard M&E framework at its disposal, it is recommended to introduce one for this mainstreaming process. In this case, a good option again is to learn from good practices of other countries, or from existing M&E frameworks of other policy sectors in your own country. Regardless of whether a Core Team follows an existing standardized M&E process for policymaking in its country or is developing a new one for this mainstreaming process, a comprehensive M&E plan should include all elements of “good” M&E. Therefore, in some cases, the Core Team may decide to add elements to its M&E plan to ensure inclusive participation of all relevant government institutions and other key stakeholders; to ensure that the progress of every institution that will be involved in the implementation of this framework policy can be measured; or to ensure that international development frameworks have been taken into consideration, etc. Importantly, the M&E plan should include the budgetary needs for M&E and clear responsibilities of information sharing. The Results-based Management Handbook referenced below proposes how to develop a comprehensive M&E plan.

Guiding questions:

- Does your country have an M&E process at the national policy level?
- Does it include important good practice aspects, such as process and results-based M&E, measurements at different levels, and effective and inclusive feedback loops?
- Which countries have good M&E procedures that can be adapted to your context?
- Have you identified clear and measurable indicators against which to monitor and evaluate and report progress?
- Have you developed a comprehensive M&E plan?

Further Tools & references:

A lot of literature is available on M&E Frameworks, including RBM. Below are two examples from within the UN system that look at RBM for framework documents, and also at the country level. Although they are both from a UN perspective, they cover basics of good M&E and therefore have useful information for a mainstreaming process driven by national government:

- [UNEG Handbook for Conducting Evaluations of Normative Work in the UN System](#) [LINK](#)

- Results-based Management Handbook: Harmonizing RBM concepts and approaches for improved development results at country level [LINK](#)
- **Selecting Indicators Tool**   
- **Drafting Your Diagnosis Paper Tool**  

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

The **Diagnosis Paper** (or discussion paper, white paper, conception document etc. – terminology varies by country) is the final output of Phase A of the Mainstreaming Framework, and should cover both the substantive content and the logistical aspects of the mainstreaming process. It is prepared before the drafting or revision of the actual policy document in order to reach a conceptual agreement on the contents, and to plan the rest of the way forward in the mainstreaming process. Specifically, it should include:

1. The goals and objectives of the climate-responsive policy formulation or revision
2. References to relevant policy planning documents and legal acts, as well as a comparative gap analysis highlighting areas where urban- and climate-related policy frameworks need to be aligned
3. A detailed outline of the status quo, trends and main climate issues to be addressed, as well as a prognosis of consequences if the problem is not addressed
4. The main elements of the contents of the climate responsive urban policy, clearly outlining the mainstreaming objectives and related climate actions
5. The main tasks to be undertaken in the mainstreaming process, and indication time and budget needed
6. Any capacity development needs
7. Clear proposal of which institution(/s) would be responsible for/involved in carrying out each of the tasks, including the drafting the framework policy; and whether or not a professional consultant will be hired to support the process
8. A monitoring and evaluation procedure for the process of mainstreaming

If a country wishes to introduce a completely new climate responsive National Urban Policy or revise an existing one, it is recommended to consider structuring the Diagnosis paper along the lines proposed in the publication ‘National Urban Policy Framework for A Rapid Diagnosis’ which proposes to divide a Diagnosis Paper into three parts. Part 1 looks at the rationale, vision and principles. Part 2 assesses the context covering issues and sectors such as urbanization and population dynamics, urban legislation, regulation and planning, infrastructure and basic services, and urban economy and municipal finances. It also includes a section on “other issues of strategic importance”. Part 3 proposes recommendations for actions, strategies and/ or a Roadmap.

Policy makers wishing to integrate climate change concerns can do so by using climate change responsive language and concepts throughout and addressing climate change concerns of each issue or sector – and/ or they can have a dedicated climate change section or chapter under the “other issues of strategic importance” section. Which route to follow will depend on a country’s climate change profile and political priorities.

Guiding questions:

- Have all tasks of Phase A: Feasibility and Diagnosis that were mapped out as part of the customized mainstreaming process been accomplished, taking into account all four Elements of 1) Substantive

process, 2) Resource and capacity assessment and development, 3) Urban and climate related policy alignment, and 4) Institutions and stakeholders?

Further Tools & references:

- **Drafting Diagnosis Paper Tool**  
- National Urban Policy Framework for A Rapid Diagnosis [LINK](#)

Phase A) Feasibility & Diagnosis

Element 2) Resources & Capacities

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 process is their responsibility independent of how much they draft themselves or delegate to others. This group makes detailed decisions on how to move through the phases of the Mainstreaming Framework. The Core Team can consist of representatives from one or more government entities – or it could be a working group under the country’s parliament. 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 – see Phase A, Element 4 for more details). The Core Team can also hire outside specialists to assist with the planning and drafting of the Diagnosis Paper and the Policy Proposal. However, ownership and full involvement should remain with the Core Team.

Depending on the country’s overall governance system, which government institutions would be tasked with revising or drafting a national-level climate responsive urban policy (and therefore likely provide most of the personnel for the Core Team) can vary widely – as can the capacities or resources provided for the mainstreaming process. The party in charge of the process and how it unfolds also very much depends on the trigger or motivation for mainstreaming urban-related climate change concerns. If it is in reaction to a large scale disaster, for example, or is driven by a high ranking **champion** such as the country’s President, this task could fall to a specially established coordinating committee; while if it happens as part of longer-term planned work, it may be an urban Ministry tasked with the mainstreaming process. Therefore, identifying the Core Team and equipping it with all necessary means for effective policy making is a very context-specific task.

It is important that the Core Team has control, e.g. in the form of a mandate or political clout to actually push the mainstreaming process through. It therefore is recommended to have a strong champion driving the process at the core. Beyond that, it is also good to have specialists from different related fields and a Core Team with a strong ability to attract a wider Reference Group of other government institutions and non-governmental key stakeholders.

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 (after a capacity needs assessment - see Phase A, Element 2) and financial resources for the process.

In many countries, mandates of different government ministries and agencies may be vague or overlap. In such cases it is important from the very beginning to either include all these government entities in the Core Team or define mainstreaming responsibilities very clearly – so that competition between government agencies does not impede progress.

It is proposed to look at the Overview Table of the Mainstreaming Framework as well as at this **Framework Tasks Tool CHECKLIST** to see in detail what the likely tasks of the Core Team would be, in order to decide on the appropriate institutions and personnel, and to have a sense of how long the mainstreaming process may take and what kind of resources may be needed. It may also be useful to look at the **Project Country Case Studies** to see how other countries set up their process and who their Core Team was. It may even be feasible to directly ask for advice from these countries.

Guiding questions:

- Who is the most appropriate institution to lead the mainstreaming process given the country's political and governance structure as related to national level urban and climate policy?
- Who should specifically be part of the team and do these people have the time necessary to dedicate to the process?
- What kind of expertise do we need for the Core Team and what expertise can come through a reference group of relevant institutions and stakeholders?
- How can the assigned Core Team be strengthened to best perform the task?

Further Tools & references:

- **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 , Viet Nam 

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**

As mentioned in the main Guide, the Elements and the tasks within the Mainstreaming Framework are not meant as a strict temporal sequence, and quite a few of the tasks depend on outputs from other tasks and need to be revisited to add information, and to include a variety of actors in the process. The mainstreaming process, by its nature requires quite a bit of reiteration of various tasks. For the current task of assessing the resources and capacities that the Core Team has at its disposal for the mainstreaming process, it would be advantageous to have already undertaken (at least a first round of) most tasks in Phase A.

Once the Core Team has customized its mainstreaming process (see Phase A Element 1), and has outlined the specific tasks that will be undertaken in the form of a **Process Timeline** in the **Diagnosis Paper**, it is recommended to conduct a resource and capacity needs assessment of the human, technical, financial and informational capacities and constraints of the **Core Team** (and the nature of assistance from the **Reference Group**) against the tasks outlined in the Process Timeline. Whilst the primary purpose of the Institutional Capacity Assessment in the **SWOT Analysis tool** is for assessing the overall capacity needs of government stakeholders for policy formulation and implementation, it can also provide insight for this preliminary assessment for the Core Team and Reference Group to effectively carry out the mainstreaming process.

Mainstreaming climate change concerns and actions into a comprehensive national-level urban policy means including a whole range of complex issues and sectors related to urban development. Therefore, it is a complex process by nature. There is need to bring in a wide range of expertise and a large set of governmental and non-governmental actors in order to do the mainstreaming process justice.

Such a process therefore would be time and labour intensive. It requires finances to organize meetings and perhaps to hire experts to assist with analysis, drafting or trainings. It may require in-house capacity development for the Core Team, which likely would also come at a cost. It is further highly desirable that key linked institutions at the national and (to some extent already) sub-national levels, as well as other stakeholders that would play a key role in implementing the national urban policy (i.e. the Reference Group) also receive needed capacity development.

If not already secured as part of the mandate for undertaking the mainstreaming process, or if the Core Team is in the phase of proposing a mainstreaming process it yet needs to be given a mandate for, then looking for financing, expertise and capacity development opportunities from the outset is vital. Some of this may come in-house from the lead institution, and some of it from other parts of the government machinery without extra cost. In some cases, a budget could be requested from government. Under certain circumstances, however, the Core Team could also explore outside resources from international development partners or other donors.

Again, this task is likely a 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 relevant for climate change mainstreaming, and how much time is given for the mainstreaming process.

Solutions to the challenge of finance and capacity development will be country specific, and the **Climate Finance** and **International Frameworks** tools may be useful in gaining insight on financing options. This task merely aims to highlight that this aspect needs to be considered early on and that it will often take time and effort to set a robust process in place. However, 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).

Guiding questions:

- Based on all of the above researched factors, what are the human, financial and institutional strengths, weaknesses, opportunities and threats (SWOT) in undertaking the mainstreaming process?
- Does the mainstreaming mandate already cover (solve) the issue of finances and capacity development needs by providing a budget for the mainstreaming process?
- If not, what information does the Core Team need to prepare a realistic and workable mainstreaming process that envisages repeated communication, including meetings with other government institutions and outside stakeholders and that covers needed capacity development (technical knowledge)?

Further Tools & references:

- **Climate Finance Tool** 
- **Drafting Your Diagnosis Paper Tool** 
- **International Frameworks Tool** 
- **SWOT Analysis Tool** 

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

Even if an overarching National Urban Policy framework is not yet in place (or not appropriate given the constitutional or institutional country context), most, if not all countries will have a variety of national, sectoral and sub-national urban-related policies, strategies, frameworks and legislation in place. 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. The assessment should also look at whether they come with clear mandates for responsible government institutions, and with dependable and sufficient financing provisions to implement the objectives. The **SWOT Analysis** tool provides additional guidance and a template for this assessment.

Some of the identified documents may already include climate change responsive language and actions, and can be used as good practices or lessons learned. The review would further aid the Core Team to understand which of documents require what forms of alignment with the new climate-responsive urban policy framework, and also to inform them on whom to reach out for consultation and coordination (see Phase A: Feasibility and Diagnosis, Element 4: Institutions & Stakeholders).

In the absence of a National Urban Policy, 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. “National urban Policy: A Guiding Framework” in this context can serve as useful guidance with regards to objectives, principles, structure and content of NUPs.

Guiding questions:

- What national-level urban-related policies, plans, strategies and frameworks are in place that may be of relevance to climate change mainstreaming?
- Are they being implemented?
 - Are there opportunities for strengthening implementation, while developing or revising policies to mainstream climate change?
- Is there an existing NUP, or one in the process of being developed?
- If not, could the country benefit from developing one?
 - Could political will be harnessed to start an NUP drafting process and could urban climate change issues perhaps become one of the drivers to push for a NUP?

Further Tools & references:

- National Urban Policy: A Guiding Framework, pp. 19-21 Make a Case for a NUP [LINK](#)
- **SWOT Analysis Tool** 

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

Even if climate change is not yet systematically featured in your country's national-level urban-related policy (or if you are starting to draft a new National Urban Policy), your country may already have some **national climate-related strategies, policies or frameworks**, including **Nationally Determined Contributions (NDCs)** or **National Adaptation Plans (NAPs)** which have been ratified or are under formulation. Climate information can also be found in 2nd (or 3rd) National Communications to the UNFCCC. These may include significant urban dimensions, but in some cases ownership of implementation does not rest with urban-related ministries, or coordination may be weak. If this is the case, then possible alignment to such a policy or strategy should be analyzed and if feasible, the relevant urban-related provisions should be mainstreamed into national urban policy/ies. At the very least, these national climate policies, strategies or frameworks should be referenced in the new climate-responsive national urban policy in order to align it with already established principles and national priorities. However, deeper alignment can be particularly important if national climate policies have identified domestic or international financing mechanisms, as may be the case for NAPs or if the country is legally bound to implement climate actions under the Paris Agreement and has ratified its NDCs.

It is also important to analyze **national-level sectoral strategies, policies, legislation or plans**, especially when the sector directly links with urban development (such as transport, housing or disaster risk management) or has an indirect, but enormous effect on urban well-being (such as agriculture or health) to examine the extent to which they are climate change-responsive.

On the one hand, if they are climate change-responsive, they can serve as good practice examples and lessons learned – potentially providing valuable insights for the mainstreaming process (including how mainstreaming has been institutionally anchored, what capacities were developed or what stakeholders were included, how the process was financed, and how ownership in implementation was ensured), and also for the substance to be mainstreamed (which climate change issues were included, what mainstreaming objectives formulated, what climate actions stipulated, and what implementation mechanisms chosen). On the other hand, references and alignment may need to be made in the national-level urban-related policy into which climate change will be mainstreamed. There also may be room for systemic synergies.

If they are not yet climate-responsive, then one important role of drafting a climate-responsive national urban policy framework is precisely to stipulate how to bring climate change concerns and mainstreaming objectives into those sectoral strategies and policies etc. Analyzing these strategies and policies will also provide the Core Team with a better understanding of whom to reach out for consultation and coordination (see Phase A: Feasibility and Diagnosis, Element 4: Institutions & Stakeholders) as well as of resource and capacity needs that the respective sectoral institutions might need to implement the climate-responsive urban policy.

It is equally important to scope and analyze what (sizable or innovative) **urban climate actions and initiatives** may have taken place or are ongoing in your country at the **sub-national level**. This can be informative regarding the priorities and realities on the ground. In fact, in some countries, it may have been activities (or events) at the local level that were important triggers for the mainstreaming of climate change concerns into a national level urban policy. Analyzing the initiatives at the sub-national level helps the Core Team and reference group to compile evidence and data and to identify priority climate change issues (e.g. local level vulnerability assessments or climate responsive action planning). Being aware of such information on the ground will ensure that national level policy is designed in a manner that is implementable on the ground and has the buy-in of local actors. Also, having scoped the national landscape for sub-national climate actions will help in identifying some key advisors for the Reference Group to be established as part of Phase A, Element 4.

The **SWOT Analysis** tool provides additional guidance and a template to assist in identifying and analyzing the above-mentioned factors.

Last but not least, it is also recommended that the Core Team undertake a literature review of academia and the international development community to gather information on the status quo and trends of urban-related climate change concerns, analyses of causes, effects and interlinkages, and policy recommendations.

Guiding questions:

- What policies, strategies, frameworks, plans or initiatives linked to climate change have been agreed on or adopted in your country at national (generally or sector specific) or sub-national levels, and how do they need to be reflected in the climate responsive national urban policy?
- What can be learned from the drafting processes of these documents and from the state of implementation?
- What are some initiatives being undertaken on the national-level, for specific sectors or on the sub-national level to compile evidence and data pertaining to climate change? What status and trends and priority climate change issues have been revealed through these?
- What approaches have been taken in society to deal with these, and how can adaptation or upscaling of successful approaches be stipulated in national-level urban policy?
- Which urban- or climate-related documents need to be referenced in the national urban policy, and in what way (for example simply acknowledged or used for operationalization of policy necessitating their revision)?

Further Tools & references:

- National Adaptation Plan Technical Guidelines [LINK](#)
- **SWOT Analysis Tool** 

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 and analyzing urban and climate-related international agreements and frameworks and 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 change-mainstreamed national urban policy can contribute fully to fulfill the countries' various obligations. Later during the actual policy formulation process in Phase B: Formulation, specific alignment of each climate change issue/ urban sector, mainstreaming objective and related climate actions with international framework targets and indicators can be undertaken. It is recommended for the mainstreaming process to align with international targets and indicators as much as is feasible, in line with national priorities and needs.

Guiding questions:

- What international urban and climate-related frameworks and processes (SDGs, Paris, NUA, Sendai, Addis Ababa) are of relevance?
- What commitments has the country made and where is the country at with regards to ratification and implementation?
- What are the process, reporting and follow up mechanisms of each of the international frameworks?
- Who are the focal points (national / international level, e.g. UN)? Who are the coordinating bodies?
- Which targets and indicators therefore need to be implemented, and should be mainstreamed into the national urban policy?
- What are the legal instruments that support the implementation of the identified targets or indicators?
- Have urban-related sectoral or subnational policies, plans, strategies or frameworks already been aligned with such targets and indicators? If not, can the mainstreamed national urban policy stipulate such follow-on alignment?
- Based on the above-identified factors, are there any gaps in national-level policy or legislation that the mainstreamed national urban policy can fill?

Further Tools & references:

- **International Frameworks Tool** 
- **Climate Finance 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 National Urban Policy or mainstreaming climate change concerns into an existing national-level urban-related 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.

In India, for example, the National Mission on Sustainable Habitat seeks to promote energy efficiency as an essential component of urban planning and calls for extending the Energy Conservation Building Code. It also emphasizes urban waste management and recycling, including power production from waste.²

² Byravan, S. and Rajan, S.C. Centre for Development Finance (CDF), IFMR and Humanities and Social Sciences, IIT Madras (2012). An Evaluation of India's National Action Plan on Climate Change. <http://ifmrlead.org/wp-content/uploads/2016/05/NAPCC%20Evaluation.pdf>

An example of a **national-level climate change framework legislation** from the Philippines is the **Climate Change Act of 2009**³, which stipulates the systematic integration of climate change into various facets of policy, development plans and poverty reduction strategies by all government agencies and instrumentalities. It created a Climate Change Commission to ensure mainstreaming of climate change into the national, sectoral and local development plans and programs, to coordinate and synchronise national climate change programs, and to coordinate with local governments; facilitating capacity building for local adaptation planning, implementation and monitoring, and authorizing budget appropriation for local governments to implement Local Climate Change Action Plans. Another Philippines example is the **Disaster Risk Reduction and Management Act of 2010** which stipulates the mainstreaming of disaster risk reduction and climate change into various development processes, particularly in the areas of environment, water, energy, health, poverty reduction, land-use and urban planning, public infrastructure and housing. It institutionalized budget appropriation on disaster risk reduction from the national to local level; and the establishment of Local Disaster Risk Reduction and Management Offices to inform and support local governments in adhering to national standards and programs, while enabling sustainable participation of key stakeholders.⁴ While not every country has such an advanced national-level climate change framework legislation (which also focuses on local and urban dimensions) as the Philippines, the above examples amply illustrate how many different entry points and areas for alignment there can be between such national-level climate-related frameworks and a climate responsive national level urban policy.

Another example of a national-level framework act that includes climate change related urban development provisions is the Republic of Korea's Framework Act on **Low Carbon, Green Growth of 2010** which stipulates a basic plan for coping with climate change, to include medium- and long-term targets for the reduction of greenhouse gases emissions and countermeasures, as well as a basic urban plan to include development of carbon-neutral cities self-sufficient in energy and resources.⁵

The transport sector in Indonesia is another example. When Indonesia was decentralized in 1999, responsibility for the transport sector (third largest source of energy-related CO₂ emissions) was transferred to local governments and cities, which were too overwhelmed by institutional, technical and financial barriers to develop sustainable urban transport systems. In 2012, Indonesia sought international assistance by submitting its Sustainable Urban Transport Initiative (SUTRI) as a Nationally Appropriate Mitigation Action (NAMA) Support Project to the UNFCCC. The aim was to transform urban transportation into a sustainable low-carbon sector and to establish a coherent national urban transport policy (comprising a regulatory framework, co-financing of local measures, capacity building, and practical guidelines for local planning). With financing from Germany and Switzerland, SUTRI NAMA became the first supported NAMA implemented in Indonesia.⁶ A lot can be learned for mainstreaming or drafting a climate-responsive urban policy from this process of establishing a climate-responsive national transport policy.

In Myanmar, under the guidance of the Myanmar Climate Change Alliance programme funded by the European Union as part of the Global Climate Change Alliance, the Ministry of Natural Resources and Environmental Conservation conducted two pilots of a local resilience planning model where Climate Change Vulnerability Assessments are conducted at the local level, serving as the evidence base for Local Resilience Plans that are aligned with national-level sectoral priorities, and centered on ecosystem, socio-economic development and urban infrastructure-based interventions. The process was documented and then integrated into the National Climate Change Policy and Myanmar Climate Change Strategy and Action Plans, with the ambition to replicate this format in all 330 townships of Myanmar.

Guiding questions:

Other countries:

- Which countries have developed a climate change responsive national-level urban policy, or have mainstreamed climate change concerns into an existing national-level urban policy framework?
- What parts of the content would be applicable to your own context or could be adjusted?
- Has this climate responsive national-level urban policy framework of a third country a) covered all climate change concerns that you need to cover, b) sufficiently taken into account different institutional and stakeholder needs and priorities of different sectors and systems, c) aligned itself strategically with international frameworks, d) taken a whole of system approach and maximized **co-benefits** and **synergies**, and considered **trade-offs**, e) adequately provided for advocacy and capacity development needs, and f) found replicable ways to finance a systematic and inclusive policy formulation or mainstreaming process?
- Do you like the structure and content of the policy document and can you adapt those for your own policy formulation?
- Is there anything you can find out about the formulation and/ or mainstreaming process itself, as well as about the policies' impact/ implementation successes? Are there key lessons you can draw from that for your own process?

Climate change mainstreaming processes in other sectors of your own country, or at sub-national level:

- Has your own country undertaken climate change mainstreaming – either in an initiative or programme or in a plan or sector (e.g. 'forestry', 'agriculture', 'transport')?
- If yes, what were the strengths, weaknesses, opportunities and threats (SWOT) these mainstreaming processes faced, and what lessons can you draw for your ongoing policy formulation or mainstreaming process?
- Would there be value added in explicitly linking your climate mainstreamed national-level urban policy to any of these other policies that have mainstreamed climate change concerns for their own sectors – either because of **synergies** or **trade-offs** between these policies?

Further Tools & references:

- An Evaluation of India's National Action Plan on Climate Change [LINK](#)
- An Act Mainstreaming Climate Change into Government Policy Formulations, Establishing the Framework Strategy and Program on Climate Change, Creating for this Purpose the Climate Change Commission, And for other Purposes Republic Act No. 9729 (Republic of the Philippines) [LINK](#)
- An Act Strengthening The Philippine Disaster Risk Reduction And Management System, Providing For The National Disaster Risk Reduction And Management Framework And Institutionalizing The National Disaster Risk Reduction And Management Plan, Appropriating Funds Therefor And For Other Purposes Republic Act No. 10121 (Republic of the Philippines). [LINK](#)

³ REPUBLIC OF THE PHILIPPINES, CONGRESS OF THE PHILIPPINES, METRO MANILA, FOURTEENTH CONGRESS, THIRD REGULAR SESSION (2009). An Act Mainstreaming Climate Change into Government Policy Formulations, Establishing the Framework Strategy and Program on Climate Change, Creating for this Purpose the Climate Change Commission, And for other Purposes Republic Act No. 9729 <http://www.ifrc.org/docs/IDRL/RA209729.pdf>

⁴ REPUBLIC OF THE PHILIPPINES, CONGRESS OF THE PHILIPPINES, METRO MANILA, FOURTEENTH CONGRESS, THIRD REGULAR SESSION (2009). An Act Strengthening The Philippine Disaster Risk Reduction And Management System, Providing For The National Disaster Risk Reduction And Management Framework And Institutionalizing The National Disaster Risk Reduction And Management Plan, Appropriating Funds Therefor And For Other Purposes. Republic Act No. 10121 <http://www.officialgazette.gov.ph/2010/05/27/republic-act-no-10121/>

⁵ Ministry of Government Legislation, Republic of Korea. Framework Act on Low Carbon, Green Growth. https://www.iea.org/media/pams/korea/PAMS_Korea_ActonLowCarbonGreenGrowth_2010.pdf

⁶ NAMA Facility, 2017. Sustainable Urban Transport System in Indonesia (SUTRI NAMA). http://www.nama-facility.org/fileadmin/user_upload/publications/factsheets/2017-11_factsheet_nama-facility_indonesia_sutrinama.pdf

- Framework Act on Low Carbon, Green Growth (Republic of Korea). [LINK](#)
- Sustainable Urban Transport System in Indonesia (SUTRI NAMA). [LINK](#)
- **SWOT Analysis Tool** 

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

Depending on whether your entry point is to include climate change considerations into an existing policy, or if climate change is a driver to prepare a new National Urban Policy, it can make a lot of sense to consider other issues that should be mainstreamed (such as ‘gender’ or ‘disaster risk reduction’) and other principles that should be considered (such as ‘leaving no one behind’ or taking a ‘whole-of-system-approach’ to urban development) along with climate concerns and actions. Other issues for mainstreaming, just like climate change itself, is largely a political question but could gain you valuable allies and champions and ensure that the intended positive impacts of a climate responsive policy are even more pronounced and transformative (for example because they comprehensively and by design address the needs of vulnerable population groups). It also helps synergize resources if more than one necessary change can be introduced into national urban policy at the same time. Such synergies can be achieved both during the policy development/ mainstreaming process and also later when it is rolled out and government and other stakeholders implement it in practice.

A gender-sensitive assessment and planning process, for example, is critical to addressing the observed higher vulnerability of women and girls and gender differences in terms of adaptation opportunities and capacity. A gender-sensitive approach can also ensure that women are not just considered a vulnerable group but are offered the opportunity to become agents of change through gender-transformative responses to climate change. Planning to involve vulnerable communities (such as populations living in informal settlements or slums in risky locations) in local climate change-related planning and action creates early buy-in, makes climate actions on the ground more likely to be demand-driven, and allows local governments to benefit from the knowledge about the impacts that disasters have on their settlements and community characteristics and about various coping strategies. It also creates opportunities for on-the-ground collaboration in data collection and verification. To mainstream such a pro-poor perspective, a policy at the national level should provide guidance to line ministries and sub-national government bodies to apply community-responsive approaches, and sufficient time to integrate local communities into the planning process and to build trust.⁷

Guiding questions:

Other countries

- Which countries have developed a national urban policy or other sectoral policy into which they mainstreamed any other concerns, such as ‘gender’ or ‘leaving-no-one-behind’?
- What parts of the content would be applicable to your own context or could be adjusted?
- Has this mainstreamed policy framework of a third country a) covered all mainstreaming concerns that you need to cover, b) sufficiently taken into account different institutional and stakeholder needs and priorities of different sectors and systems, c) aligned itself strategically with international frameworks, d) taken a whole of system approach and maximized **co-benefits** and **synergies**, and included **trade-offs**, e) adequately provided for advocacy and capacity development needs, and f) found replicable ways to finance a systematic and inclusive policy formulation or mainstreaming process?
- Do you like the structure and content of the policy document and can you adapt those for your own policy formulation/ revision?

⁷ UNFCCC, (2018), ‘Adaptation in human settlements: key findings and way forward: Report by the secretariat’, FCCC/SBSTA/2018/3, p. 9

- Is there anything you can find out about the formulation and/ or mainstreaming process itself, as well as about the policies' impact/ implementation successes? Are there key lessons you can draw from that for your own process?
- Are there any guidance tools on mainstreaming other concerns that could assist with thinking about mainstreaming climate change concerns into national-level urban policies?

Mainstreaming processes related to other issues/ other sectors of your own country

- Has your own country undertaken any other kind of policy mainstreaming – in urban policy, in other sectors or sub-national initiatives or in programmes or plans?
- What were the strengths, weaknesses, opportunities and threats (SWOT) these mainstreaming processes faced, and what lessons can you draw for your ongoing policy formulation or mainstreaming process (also along the sub-points a) to f) from above question on other countries' experiences)?
- Would there be value added in explicitly linking your mainstreamed national level urban policy to any of these other policies that have mainstreamed other concerns – either because of **synergies** or **trade-offs** between these policies?

Further Tools & references:

- **Making the Case Tool** 
- Gender and Urban Climate Policy: guidance document suggesting principles and priorities for gender-sensitive climate policies in urban areas and includes a six-step process for integrating gender-sensitive approaches into planning. The entry point is local level policy and planning, but the issues and linkages are helpful for mainstreaming considerations at national level. [LINK](#)

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

A thorough review and comparative analysis of the above-identified set of documents and international frameworks would reveal the status quo or the qualitative and quantitative baseline of the country vis-a-vis climate-responsive urban development. It would clarify linkages and hierarchies among the documents, as well as their degree of alignment to each other; and cross-referencing needs. It would further identify gaps and potential opportunities (that could reveal further drivers and entry points for mainstreaming) and confirm priority needs for mainstreaming. In this manner, such a comprehensive diagnosis or analysis constitutes the substantive basis of the mainstreaming process.

Once such a comprehensive analysis has been undertaken, it can assist in strategically deciding whether the country should draft a new National Urban Policy from scratch, or in reaffirming 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.

Guiding questions:

- Do any of the documents examined include climate responsive language and action? Can lessons be drawn from them for the national-level urban policy that is to be drafted?
- Do the documents align with each other or contradict each other?
- Are the hierarchy and relationships between the documents clear?
- Are there overlaps or ambiguities in mandates? And if yes, can a newly mainstreamed national-level urban policy (policies) clarify such issues?

- Which urban- or climate-related documents need to be referenced in the national urban policy and in what way (for example simply acknowledged, or used for operationalization of policy necessitating their revision? What mandate changes would it entail for these other policies, if any)?
- Into which national-level urban-related policy/ies will your country mainstream climate change concerns and actions?

Further Tools & references:

- **SWOT Analysis Tool** 
- **Drafting Your Diagnosis Paper Tool** 

Phase A) Feasibility & Diagnosis

Element 4) Institutions & Stakeholders

Map and analyze relevant parts of country’s institutional landscape (**government**), and identify potential mainstreaming champions

As mentioned earlier, mainstreaming climate change concerns and actions into a comprehensive national-level policy means including a whole range of complex issues and sectors related to urban development; and therefore, requires the involvement of a wide range of expertise and a large set of governmental and non-governmental actors. For the purpose of mainstreaming climate change concerns and actions into a national urban policy(/ies), stakeholders can be divided into two groups – **inside stakeholders**, which means government institutions linked to urban and climate change aspects, and **outside stakeholders** which include actors and population groups which either have a strong influence over, have an impact on or are majorly impacted by climate-responsive urban development, including civil society, business, academia, community organizations, media etc. Each can bring to the process different responsibilities, resources, capacities, concerns and needs.

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 and monitored and evaluated. This involves mapping out all government institutions with urban- and climate-related mandates – sectoral ministries, agencies, specific organs (e.g. councils, boards etc.) and where appropriate sub-national government, 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 (i.e. willing individuals, groups of individuals or organizations that are willing to endorse the process by putting political or financial weight and influence behind the mainstreaming process, and actively work to increase political will and convince stakeholders to support the process) should also be identified. Part 2. Institutional Structures and Relationships in the **SWOT Analysis TEMPLATE** provides additional guidance for institutional mapping.

By conducting this analysis, the Core Team should gain insight into the urban and climate-related institutional framework and processes (such as the policy sanction/adoption process, and the process through which the policy will be put into motion following adoption). 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 each of the policy documents and processes.

The **Stakeholder Analysis Tool** takes policymakers through several steps of mapping and analysing internal (in this case government) and external (civil society, business, academia, media etc.) stakeholders, adapting some well-known stakeholder mapping methods for the purpose of mainstreaming climate change concerns into national-level urban policy/ies.

Guiding questions:

- What does the urban and climate institutional framework look like? What are the existing climate and urban agencies, institutions, and specific organs (e.g. councils, boards etc.)?
- What are their respective responsibilities? Are they enabled to fulfill them effectively or can the climate mainstreamed national-level urban policy strengthen their implementation and clarify their role?
- Which agencies can possibly be involved in the implementation of the climate actions selected for mainstreaming?
- Are there existing urban climate change related actions and initiatives that might serve as implementation mechanisms?
- What can each institution contribute to the process, and what kind of support or participatory process would it need to effectively participate in the mainstreaming process?

Further Tools & references:

- **Good Urban Governance Tool** 
- **Stakeholder Analysis Tool** 
- **SWOT Analysis Tool** 
- Planning for Climate Change, p. 39. Identifying Project Champions [LINK](#)
- NUP Guiding Framework: pp.22-23, Building Support for NUP: Understanding and Articulating the Vision and Value Addition [LINK](#)

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

The mainstreaming of climate change into urban-related policies is addressing the real needs of people, and is therefore dependent on a correct and complete analysis of the existing situation. The existing situation should be interpreted according to the views, needs, interests and activities of parties concerned. It is essential that all those involved participants accept the mainstreamed climate actions and are committed to implementing them. Identifying and gaining the support of the stakeholders is therefore essential in Phase A: Feasibility and Diagnosis, in order to form the basis of the stakeholder consultations.

Key actors outside government, such as civil society, community organizations, academia, business, professional associations etc. should be identified. They should importantly also include grassroots representation, especially from “vulnerable” and minority groups such as youth, women and poor and disadvantaged communities. They should be brought into the mainstreaming process where their needs, roles and resources should be taken into account in formulating, implementing and monitoring and evaluating the mainstreamed national urban policies. 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. It can also provide insight into private financing mechanisms and donor opportunities from which funding for the mainstreamed climate actions can be mobilized. The **Stakeholder Analysis Tool**, as introduced in the preceding task, can provide guidance in this process.

Guiding questions:

- Which urban and climate actors, and policy stakeholders will be involved?
- What is their current and potential relevance to the process (essential, important, minor)?
- Are there willing individuals, groups of individuals or organizations that are willing to endorse the process by putting weight (either political or financial) and influence behind the mainstreaming process, and actively working to increase political will and convince stakeholders to support the process?
- Why would each stakeholder be interested in participating (i.e. what would they get out of the process)?
- What could each stakeholder contribute to the process (e.g. data, staff, resources, funding)?
- What kind of support or participatory process would they need to effectively participate in the mainstreaming process? What means will be taken to engage key stakeholders throughout the process?
- To what level or extent should they be involved (informed, consulted, included in decision making, implementation, M&E?) and at what points of the mainstreaming process should stakeholder participation take place?

Further Tools & references:

- **Stakeholder Analysis Tool** 
- Planning for Climate Change, p. 39. Identifying Project Champions [LINK](#)
- NUP Guiding Framework: pp.22-23, Building Support for NUP: Understanding and Articulating the Vision and Value Addition [LINK](#)

Determine potential means and level of engagement of relevant institutions and key stakeholders based on capacities and interest (HOW, WHAT), and agree on **Participation Strategy** for mainstreaming process, including forming **Reference Group** (WHO)

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, potential institutionalization of participation.

Establishing a wider **Reference Group** – a smaller group of selected key 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. It would be members from this Reference Group who, if appropriate in the country context, could formulate or assist in formulating the text of the mainstreaming objectives and climate actions during Phase B: Formulation, based on their first-hand knowledge of climate change trends and impacts – and in the case of government institutions, perhaps also based on having to implement certain climate actions proposed for mainstreaming.

Rules and procedures for stakeholder consultation should be put in place. This may include communication protocols, which consider how various outputs of the mainstreaming process will be communicated and reiterated to the stakeholders, and how stakeholder feedback will be received. Feedback mechanisms such as regular meetings should also be established.

During Phase B, it is further recommended to agree on a **Formulation Workplan** for drafting or peer reviewing certain parts of the proposed climate-responsive urban policy (especially for presenting a disaggregated picture of the climate change-related status quo, trends, and impacts of and on cities and different population groups; and for drafting the mainstreaming objectives and climate actions).

It is important to keep in mind that there are various factors that may hinder meaningful participation of all stakeholders. Some are practical factors on the participants' side, such as time constraints of participants, or access to a meeting or workshop venue. It is important to have multiple means of consultation at different steps of the process with different groups. This can help to keep stakeholders interested and engaged in the process, and provide varying methods that different groups would feel comfortable with (e.g. some people may feel intimidated at larger, more formal events).

The **Stakeholder Analysis Tool** provides additional guidance on selecting members of your Reference Group, methods of engagement, and determining standards and protocols for participation. The contents of your Diagnosis Paper will build the basis of your Formulation Workplan, as elaborated in Phase B, Element 1, as well as the **Drafting Your Diagnosis Paper Tool**.

Guiding questions:

- Which stakeholders will be involved in what stages of the mainstreaming process?
- By what methods will stakeholders be engaged?
- Who will make up the wider reference group (smaller group of key stakeholders that will be involved throughout the process)?
- What rules and procedures of stakeholder consultation will be put in place?
- What feedback mechanisms will be put in place?
- What measures will be taken to ensure meaningful participation of stakeholders throughout the process?

Further Tools & references:

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

Phase B) Formulation

Element 1) Substantive process

Prepare a detailed **Formulation Workplan** 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 the Phase C: Implementation.

Formulating the **Policy Proposal** entails a number of steps and considerations including engaging relevant stakeholders, creating detailed **Implementation Proposals** for the individual 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**, consisting of a breakdown of tasks, including timelines and budget for each of the tasks, and defined roles and responsibilities for stakeholders can help to structure this process, ensuring that the tasks are carried out to completion by the appropriate actors within the determined timeframe and budget. The scope of the Formulation Workplan, for the purpose of this national-level mainstreaming framework, extends to the activities that will be carried out by the Core Team, Reference Group, and government stakeholders at the national level (i.e. at line Ministries such as Ministry of Interior and national level agencies with urban-related mandates such as a National Housing Authority). Whereas local level actors are crucial to both the formulation and implementation of the climate-responsive urban policy, the Formulation Workplan does not necessarily include sub-national or local level implementation strategies and plans, since the focus of the policy is at the national level.

Mainstreaming objectives and **climate actions** should take a systems perspective and maximize synergies and co-benefits, fully taking into account trade-offs; and therefore, need to be analysed as a whole. Given the breadth of climate change concerns in the different urban sectors, specialist and stakeholder inputs are likely necessary to draft implementation proposals for each respective climate action, especially if different government institutions and levels are responsible for their implementation. The creation of synergies between existing urban development actions, plans and initiatives on the national, sectoral and sub-national levels that act as implementation mechanisms (as identified in Phase A: Feasibility and Diagnosis) needs to be considered.

The Core Team should therefore pay particular attention to preparing detailed sections in the **Formulation Workplan**, drafting the mainstreaming objectives and climate actions either jointly with concerned parts of the **Reference Group**, or closely coordinating inputs with timely peer reviews. This should be done in line with the **Participation Strategy** agreed under Phase A.

Implementation Proposals for individual climate actions, to the extent of the involvement of the government stakeholders at the national level (and in some cases at the sub-national level), should also be included as a part of the Formulation Workplan. These should include a summary of the proposed climate action and its corresponding mainstreaming objective(s); a clear breakdown of implementation-related activities, estimated budgets and realistic timelines; and defined roles and responsibilities for the national-level implementing stakeholders against each of the activities. Where there are capacity or resource needs for the implementing agencies (which will be identified through a Capacity Gap Assessment, as explained in Phase B, Element 2), capacity development and resource mobilization should be considered in estimating the timelines and budgets.

Guiding questions:

- Who is drafting the implementation proposals for which climate actions, and how much time and other resources are needed for this?
- What are the specific activities that need to be carried out in the process of formulating the new climate-responsive urban policy framework, or revising an existing urban-related policy to mainstream climate change?
- Which stakeholder(s) will be in charge of each of the activities? What are their specific duties and responsibilities?
- Which institutional stakeholders should be charged with implementing which climate actions?
- Are the capacities of respective implementing institutions adequate for the formulation of climate action proposals?
- How will the Core Team support in the development of the proposals, or capacity development to this end?
- Where can synergies be created between existing urban development actions, plans and initiatives in implementing the climate actions?

Further Tools & references:

- **Drafting Your Diagnosis Paper Tool**  
- **Selecting Indicators Tool**   
- **Stakeholder Analysis Tool**   
- **SWOT Analysis Tool**   

Conduct periodic monitoring and evaluation as per plan developed in Phase A

The **Core Team** should ensure that the M&E framework for the mainstreaming process, as outlined in the **Diagnosis Paper** formulated as the output of Phase A: Feasibility and Diagnosis, is followed. The M&E framework may need some adjustments after the **Formulation Workplan** has been agreed on, as it provides far more details of the process and content than was available in Phase A. The Core Team should therefore undertake a review of the M&E framework and make necessary adjustments in agreement with the Reference Group.

Guiding questions:

- What indicators are in place to monitor the process of policy formulation or revision?
- What are the mechanisms for receiving feedback from key stakeholders during the formulation or revision process?
- Has stakeholder feedback been adequately fed back into the draft?

Further Tools & references:

- **Drafting Your Diagnosis Paper Tool** 

Undertake an Implementation Analysis to understand policy, legislative and institutional landscape in your country unless this process has been completed in Phase A Feasibility and Diagnosis.

Prior to implementation, it is recommended to undertake a thorough **Implementation Analysis** in order to understand the sectoral, local government, localization and where relevant local-level policy, legislative and institutional landscape within which the policy will be implemented. Although there is not one standard methodology, the Implementation Analysis should look into the sectoral and local policies and plans that will need to be developed or revised in order 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 identification of the institutional stakeholders and landscape, relevant policies, legislation and procedures, as well as the capacity gap assessment as supported in the **SWOT Analysis** tool can provide a basis for the Implementation Analysis. The **Good Urban Governance Tool** can also provide insight into various dimensions of urban governance in your country, highlighting aspects such as inter-agency coordination, participation and efficiency.

The Implementation Analysis should influence the formulation of the policy, strengthening the enabling environment for implementation as much as possible. Also, 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.

Guiding questions:

- What sectoral and local policies or plans would need to be developed or revised in order to successfully implement the proposed climate actions?
- Are there any administrative procedures, institutional bottlenecks, gaps, duplications or ambiguities that may hinder smooth implementation?
- What legislative instruments are in place that either support, or may hinder successful implementation?
- Can the Policy Proposal strengthen particular aspects of the legislative enabling environment by providing for certain follow-on legislation to be adopted/ operationalized?

- What do the results of the Implementation Analysis mean for support needed during Phase C: Implementation?

Further Tools & references:

- **Good Urban Governance Tool** 
- **SWOT Analysis Tool** 

Phase B) Formulation

Element 2) Resources & Capacities

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

In Phase A: Feasibility and Diagnosis, a needs assessment was conducted in order to identify the technical, financial and other resource and capacity needs of the **Core Team** and **Reference Group** – both for the purpose of carrying out the mainstreaming process, and for supporting implementing agencies in their respective responsibilities including assistance in the development of proposals for the individual climate actions, and various facets of implementation. Based on this assessment, a **Financing and Capacity Development Strategy** may also have been formulated for capacity development of the Core Team and Reference Group, as well as for resource mobilization for the mainstreaming process.

In Phase B: Formulation, the capacity development activities outlined in the Financing and Capacity Development Strategy need to be conducted first of all for the purpose of drafting (or providing support to the drafting of) the **Policy Proposal**. For example, this may take the form of training activities for the **Core Team** to enhance understanding of policy, climate change, participation or M&E processes; or for providing technical support to implementing agencies in the development of climate action proposals.

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. Capacity development may take the form of, for example, training for the Core Team and Reference Group to adequately provide technical and project management support for the implementation of the proposed climate actions; for resource mobilization support, e.g. training to enhance understanding of various sources of climate finance, potential challenges to accessing them, and means to address these challenges; and for oversight and coordination of implementation-related activities.

A **Capacity Gap Assessment** should be undertaken to assess the human, technical, financial and informational capacities and constraints of the proposed implementing agencies at the national level, and in some cases at sub-national level against the specific tasks or activities outlined in the **Formulation Workplan**. If gaps and needs are highlighted in this assessment, it will be important to formulate a **Capacity Development Strategy** outlining the Core Team's support to implementing stakeholders on the national level, for capacity development activities to be carried out throughout Phase C: Implementation. The type of capacity development will be determined by the capacity gaps and needs identified. For example, it may be necessary to build the capacities of the national-level agency in charge of delegating implementing responsibilities to local governments (e.g. Ministry of Interior, Department of Local Government etc.) to be capable of undertaking project management-related training activities for local governments.

The **Good Urban Governance Tool**, together with the **SWOT Analysis Tool** can serve as a preliminary assessment of institutional capacity, giving insight into the situation on the ground with regards to the

capacity of government stakeholders to implement the proposed climate actions, and helping to identify areas for improvement.

Guiding questions:

- What capacity needs have to be addressed for the purpose of carrying out the activities related to formulating the policy proposal?
- What are the human, technical, financial and informational capacities and constraints of respective implementing agencies against the specific tasks or activities in the climate action proposals?
- How might these capacity needs be addressed? (The capacity development strategy will be elaborated in Phase C: Implementation)

Further Tools & references:

- **Good Urban Governance Tool** 
- **SWOT Analysis Tool** 

Phase B) Formulation

Element 3) Policies

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

The Core Team plays a central role in the drafting of the climate-responsive policy, based on the evidence compiled in collaboration with key stakeholders in Phase A: Feasibility and Diagnosis. 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 **Diagnosis Paper** formulated as the outcome of Phase A included an analysis of the status quo and trends of **urban climate change-related concerns**; and clearly outlined the **mainstreaming objectives** and **climate actions** selected to address these issues. The Core Team and other stakeholders in charge of drafting the **Policy Proposal** will now need to consider how all of the above-mentioned 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 (normative principles backed by evidence), and determining which chapters and policy elements the **climate change issues**, **mainstreaming objectives** and **climate actions** 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. Guidance on NUP formulation processes can be sought in the UN-Habitat publications: National Urban Policy: A Guiding Framework and National Urban Policy: Framework for a Rapid Diagnostic. Examples from other countries may also be helpful in gaining insight into how climate change considerations are mainstreamed into the different (sectoral) chapters and elements of a National Urban Policy framework, and whether an additional chapter or section focusing just on climate change would be advisable.

Based on the above-considered factors (i.e. how and where the climate-responsive text will be incorporated into the policy framework), and according to the detailed **Formulation Workplan** as introduced under Phase B Element 1, the responsible party can now draft the climate-responsive text for the policy framework into which climate change will be mainstreamed. As mentioned earlier, the Policy Proposal should reflect the mainstreaming objectives and highlight the proposed climate actions 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. The policy proposal should also include an estimation of budget needs, and other resources (technical, human, informational, institutional) needed in order to successfully implement the climate actions and achieve the mainstreaming objectives (or have this information in an annex or accompanying document – depending on country context). Other national, subnational and sectoral urban- and climate change-related policies and plans which were identified in Phase A for harmonization (e.g. NAP, NDC, sectoral policies with direct or indirect linkages to urban development) should also be clearly referenced in the Policy Proposal.

Guiding questions:

- Have all tasks of Phase B: Feasibility and Diagnosis that were mapped out in the mainstreaming **Process Timeline** as part of your Diagnosis Paper been accomplished, taking into account all four Elements: 1) Substantive process, 2) Resource and capacity assessment and development, 3) Urban and climate related policy alignment, and 4) Institutions and stakeholders?
- What climate-responsive language and data, and climate actions should be brought into which chapters and elements of the policy proposal?
- Should a chapter dedicated to climate change be incorporated into the policy?
- Based on the considerations made in Phase A: Feasibility and Diagnosis, should the “level of mainstreaming” be climate change aware, sensitive or transformative?
- Are there any examples from other countries (climate-responsive NUPs or other national-level urban policies) that can be used as reference?

Further Tools & references:

- **Drafting Your Diagnosis Paper Tool** 
- **Selecting Indicators Tool** 
- **SWOT Analysis 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**, it was recommended to research international frameworks and processes of relevance to urban development and climate change, in order to assess the alignment of international and national policy targets and indicators; and possibly identify entry points for mainstreaming based on the identified gaps. 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 climate change issues, mainstreaming objectives and climate actions with relevant international targets and indicators.

The respective process, review and reporting mechanisms and requirements of relevant international frameworks were also reviewed in Phase A. Understanding these mechanisms and incorporating them into the climate-responsive urban policy framework will help the country in fulfilling their various implementation and reporting requirements. By fully fulfilling their requirements for these international commitments and demonstrating progress towards achieving international goals and objectives as a result of implementing the new climate-responsive urban policy, the country’s position in the international climate change discourse will be strengthened; and in some cases, the country’s access to international sources of climate finance may also be enhanced.

Guiding questions:

- What indicators are in place to monitor the process of policy formulation or revision?
- What are the mechanisms for receiving feedback from key stakeholders during the formulation or revision process?
- Has stakeholder feedback been adequately fed back into the draft?

Further Tools & references:

- **International Frameworks Tool** 

Phase B) Formulation

Element 4) Institutions & Stakeholders

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

As mentioned above, the proposed implementing agencies, which may include sectoral ministries or departments, or a national-level agency charged with delegating policy implementation to subnational governments (e.g. Ministry of Interior, Department of Local Government etc.) should play a central role in the developing detailed proposals for the individual climate actions for which they will be responsible. Key stakeholders and institutions who were involved in providing inputs to the analysis of potential challenges and opportunities of the proposed policy (or revisions to existing policy), and the selection of climate actions in Phase A should be engaged during formulation to reconfirm their agreement on the content. In addition, it is essential that feedback from key stakeholders - including those that are most vulnerable to climate change, and those responsible for implementation - is received and adequately incorporated in the formulation 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: Feasibility and Diagnosis.

Also, prior to the adoption of or formal agreement on the Policy Proposal, it is important that participating institutions and stakeholders agree to the climate-responsive content and are ready to support implementation. The **Implementation Analysis** conducted in Phase B: Formulation, Element 1: Substantive Process helps with 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 that it is correct and complete.

Guiding questions:

- Have the key stakeholders that provided inputs in Phase A: Feasibility and Diagnosis for the analysis of challenges and opportunities, and selection of climate actions for mainstreaming been engaged in the formulation process?
- Has feedback from important stakeholders been received through established channels and mechanisms, and incorporated into the text?
- Has consensus been reached on the content, and are participating institutions and stakeholders willing and ready to support implementation?

Further Tools & references:

- **SWOT Analysis Tool** 

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

Once the new climate-responsive national-level urban policy/ies has (have) been drafted, or an existing urban policy framework has been revised to mainstream climate change considerations, the Policy Proposal needs to go through a process of sanction or agreement by the relevant oversight / decision-making bodies to be officially agreed or adopted.

While the process of policy approval will differ by country, the Core Team will play a key role in coordinating this process.

Guiding questions:

- What is the approval/ adoption process for this new/ revised urban framework policy in your country?
- How can you as the **Core Team** support smooth approval/ adoption?

Further Tools & references:

SWOT Analysis Tool 

Continuously monitor process and outcomes of implementation, and create feedback mechanisms to inform future stages – ensure that M&E processes in place, e.g. regular meetings with reference group or other key stakeholders or progress measurement and analysis documents

During Phase A: Feasibility and Diagnosis, it was proposed that the Core Team develop 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 and ensuring that the process is effective and inclusive.

The Core Team should follow through with asking for and receiving regular and systematic feedback through the established channels and mechanisms. The Core Team then needs to analyze this feedback in line with established targets for success; and if the process is lagging behind in some aspect, it needs to appropriately address the challenge.

During Phase C: Implementation, M&E is particularly crucial, as the formally agreed upon or adopted framework policy now needs to be introduced in follow-on policies, legislation, budgeting and planning. This means that other government players assume a much larger role in the process, and the Core Team potentially less direct influence over the outcome. Identifying challenges early to seek readjustments is therefore crucial.

While the text of the policy cannot be adjusted during this policy cycle once it has been officially adopted, even at this stage content feedback may be valuable in deciding how exactly to reflect the framework policy's intent in follow-on legislation, budgeting and planning.

Implementation of the national-level mainstreaming process for the purpose of this Mainstreaming Framework stops with 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. However, in order to understand whether ultimately the framework policy succeeded in its mainstreaming objectives, results and impact also need to be measured. It is therefore at this stage that, in particular planning for impact-level monitoring and evaluation should be finetuned and finalized. It can take place perhaps annually through stakeholder meetings, questionnaires, or comparison of baseline and target data. This means longer-term dedication and resources which can be challenging in many policymaking contexts. Results of the impact-level M&E can then feed into a next policy cycle (if necessary), which would benefit from a strong evidence base.

Guiding questions:

- Are monitoring mechanisms in place that allow for monitoring of both implementation processes and outcomes?
- Are there feedback mechanisms in place to inform future stages of implementation?

Further Tools & references:

- **Drafting Your Diagnosis Paper Tool** 
- Results-based Management Handbook: Harmonizing RBM concepts and approaches for improved development results at country level [LINK](#)

Phase C) Implementation

Element 2) Resources & Capacities

Create detailed Implementation Plan on support/ coordination/ oversight by Core Team & wider Reference Group

Since climate change mainstreaming was applied to a national-level urban policy framework, roles and responsibilities for the implementation of the mainstreamed climate actions would to a good extent have 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 actions into motion. The Core Team – as appropriate and possible within each country context - should provide support to these agencies to ensure successful implementation, for example through providing capacity development support, technical support, resource mobilization support, and coordination and oversight.

The development of an **Implementation Plan** can be helpful in structuring the way forward for involvement of the Core Team and Reference Group. The Implementation Plan should include a workplan for the various supporting activities - including a clear break-down of tasks (linked to the mainstreaming objectives and specific climate actions), indicators to monitor each of the activities, defined roles and responsibilities for stakeholders, and timelines for each of the activities.

Guiding questions:

- For each of the climate actions, what agency/ies will be in charge of implementation?
- What are the specific supporting activities, tasks and duties to be carried out by the Core Team, for successful handover of implementation?
- Which stakeholders are responsible for the above-determined activities, tasks and duties?
- What are the timelines for each of the activities?
- Have the performance indicators and targets for each of the activities been aligned with the objectives, expected accomplishments or targets of the climate-mainstreamed policy framework?
- Which mainstreaming objectives do these correspond to and how is progress measured and reported in case several climate actions feed into one mainstreaming objective or vice versa, several mainstreaming objectives can be served through one climate action?
- Are the targets and indicators in the implementation plan aligned with those of relevant international frameworks?

Further Tools & references:

- **Drafting Your Diagnosis Paper Tool** 
- **Selecting Indicators Tool** 
- **SWOT Analysis Tool** 

Support resource mobilization for implementation of mainstreamed climate actions, considering domestic, international, private and public financing sources and mechanisms, as well as 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 resources. Where appropriate in the national context, it is recommended that the Core Team play a coordinating role to link different actors towards financing the mainstreamed climate actions. For example, the government agency in charge of budget allocation (e.g. a Budget Bureau, Finance Ministry or Planning Commission) needs to be aware of the policy decisions so that implementing agencies are allocated budgets appropriately. The Ministry of Environment may have access to international climate finance such as the Green Climate Fund or funding towards implementation of a Nationally Determined Contribution with a strong urban component.

It may also be necessary for the Core Team to provide resource mobilization support to the responsible agencies, for successful implementation of the selected climate actions. Access to international sources of climate finance generally requires that implementing entities on the national level have adequate capacity for the financial and administrative management of projects, as well as project-management capacities including the development, implementation and monitoring and evaluation of planned activities. In addition, mitigation-related projects typically require that greenhouse gas (GHG) mitigation actions and commitments are “measurable, reportable and verifiable.” Therefore, strengthening governance, and ensuring transparent processes are in place are pre-requisites for improved access to international climate finance by national governments.

Further, international sources of climate finance often do not have mechanisms for sub-national levels of government to access them directly. Therefore, they tend to rely heavily on national government funding, and as a result face challenges in financing local climate action.

The Core Team can provide support to subnational implementing bodies by supporting the introduction of effective mechanisms for linking international climate finance accessed by the national-level agencies to the local level. An example of a mechanism that brings climate finance to the local level is the People's Survival Fund, an annual fund programmed by the Philippines national government and intended for local government units and accredited local/community organizations to implement climate change adaptation projects that will equip vulnerable communities to deal with the impacts of climate change. If effective, having such a mechanism in place also makes a country attractive in terms of accessing international climate funds.

Further, as local governments often also lack the capacity, authority and credit worthiness to access alternative sources of financing such as private sector and capital market mechanisms, the Core Team could play a role in proposing national-level capacity development or legislative measures that would help finance local climate action through private climate financing mechanisms such as commercial banks, private equity bonds and institutional investors (e.g. pension funds), as well as capital market mechanisms such as Green Bonds, that allow local governments to access climate finance directly. This will enable local governments to develop blended financing mechanisms, so that they do not need to rely solely on national funding sources to finance local climate action.

In order 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 – e.g. possible sources where funding may be sought out, stakeholders responsible for resource mobilization, mechanisms for channeling funding to the local level, and necessary human, technical and institutional capacity development to this end – with clear linkages to the mainstreaming objectives and specific climate actions. The Financing Support Strategy should include financing support goals and objectives, as well as a detailed task breakdown for the activities, and monitoring indicators and timelines for each of the activities.

Guiding questions:

- Who will be responsible for mobilization of resources?
- Which agency is in charge of allocating budgets for implementation of the mainstreamed climate actions?
- From what sources can national and sub-national governments obtain the financial resources necessary for implementing the mainstreamed climate actions?
- Does the country have a national climate fund and can it be accessed by national or local level government entities in charge of climate responsive urban development?
- What are some of the existing mechanisms to channel national climate funding to the local level?
- How can the mechanisms be enhanced to address these challenges and facilitate the flow of climate finance to the local level?
- Are there any governmental agencies that have programmes or initiatives in place where efforts can be synergized, for efficient use of financial resources?
- What means (expertise, time, mandates) are needed for resource mobilization, and where will these be obtained? Is there a need to develop capacities to this end?
- What are the timelines for obtaining these funds?

Further Tools & references:

- **Climate Finance Tool** 
- A Quick Guide to Climate Change Adaptation Funds (USAID, 2017): summarizes 10 multilateral and bilateral climate funds and initiatives currently available for financing adaptation activities in developing countries [LINK](#)

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

In Phase B: Formulation, a **Capacity Gap Assessment** was undertaken to investigate the availability and gaps in human, financial, informational and other resources of the Core Team, Reference Group and national-level implementing agencies against the mainstreaming objectives. 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 – in as far as possible within the national context - should 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. For example, in order to ensure effective implementation of the mainstreamed actions at the local level, it may be necessary to undertake project management-related capacity development activities (e.g. training for project development, implementation and monitoring and evaluation processes) for the national-level agency in charge of delegating implementing responsibilities to local governments in your country, such as the Ministry of Interior or Department of Local Government.

Further, the Core Team may become involved in identifying capacity development opportunities for local governments to directly access private climate financing mechanisms such as commercial banks, private equity bonds and institutional investors (e.g. pension funds), as well as capital market mechanisms such as Green Bonds, that allow local governments to access climate finance directly. However, the extent to which local governments and cities would have access to such forms of finance depends as much on a country's governance structure and degree of fiscal decentralization and linked legislation as it does on capacity to realize such opportunities at the local level.

The Core Team may formulate a **Capacity Development Strategy**, with capacity development objectives, and a task breakdown of capacity development activities linked to mainstreaming objectives and specific climate actions; indicators to monitor each of the activities; and timelines and budget estimates for carrying out these activities. The Capacity Development Strategy may be integrated into the **Implementation Plan**, which outlines the activities of the Core Team and Reference Group in Phase C: Implementation, to include capacity development-related tasks.

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. It is important to ensure that continuous monitoring and feedback mechanisms are in place to identify weaknesses in the capacity development process, and to apply lessons learned to the process by changing and updating the institutional systems and culture as needed. The indicators in the Capacity Development Strategy will form the basis of this monitoring framework.

Guiding questions:

- Based on the Capacity Gap Assessment conducted in the Formulation or Revision phase, what are the capacity gaps and needs of implementing entities?
- What specific actions can be taken to address these gaps and build institutional capacity?
- How can capacity building be institutionalized long-term?
- What are the mechanisms for enforcement?
- Are feedback mechanisms in place to identify weaknesses in the process, and to apply lessons learned to the capacity development process?

Further Tools & references:

- **Selecting Indicators Tool** 
- **SWOT Analysis Tool** 

Phase C) Implementation

Element 3) Policies

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

Depending on the level of decentralization and on the institutional, human and financial capacity of governments on regional and local levels, engaging these levels of government in the mainstreaming process, and delegating roles and responsibilities for implementing the mainstreamed climate actions is essential in order to ensure that policy implementation is place- and context-specific. To this end, action plans can be developed to support the implementation of national policy targets at the local level.

The national-level agency in charge of aligning national- and local-level policies, 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 may perhaps 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 to retrofit existing ones in alignment with the mainstreaming objectives of the newly adopted climate-responsive national-level urban policy.

However, it is important to keep in mind that when decentralization is incomplete, and lower tiers of government therefore lack the institutional, human and financial capacities to support implementation of the mainstreamed policies, engaging them unprepared can result in serious implementation gaps and policy failures. In addition to strengthening vertical coordination and developing the capacities of sub-national implementing agencies, it may be necessary to mandate local governments to develop new policies and plans, or retrofit existing ones in alignment with implementation objectives.

Guiding questions:

- Have national policy targets been reflected in local-level policies and development plans?
- Do local governments have adequate capacities and authority to implement the policy?
- Does vertical integration need to be strengthened to this end?

Further Tools & references:

- **SWOT Analysis Tool** 

Oversee/ encourage that sectoral ministries/ government agencies are mandated to develop new policies & plans, or retrofit existing ones in line with implementation objectives of the mainstreamed national level urban policy/ies in line with the Implementation Analysis

While for some of the mainstreamed climate actions local-level implementation is essential, for others it may be more appropriate to assign implementation to a national-level sectoral ministry or department, such as a Ministry of Public Works (e.g. for large-scale infrastructure projects that span across different regions or municipalities) or a Department of Housing (e.g. for a national-scale informal settlements-upgrading project).

In Phase B: Formulation, an **Implementation Analysis** was introduced in order to gain an understanding of the policy, legislative and administrative environment in which the mainstreamed climate actions will be implemented. With reference to the outcomes/findings of this analysis, 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.

Guiding questions:

- Have national policy targets been reflected in sectoral policies and development plans?
- Have sectoral policies and plans been developed in line with the outcomes of the implementation analysis?

Further Tools & references:

- **SWOT Analysis Tool** 

Phase C) Implementation

Element 4) Institutions & Stakeholders

Facilitate delegation of roles & responsibilities to sectoral & 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.

As explained above, sub-national levels of government are often closer to the practical use of the mainstreamed climate actions at the regional and local levels, and delegating roles and responsibilities for implementation can help to ensure that the policy is place- and context-specific. Where capacities are adequate, and local-level implementation is deemed appropriate for the specific climate action, the Core Team 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. In these scenarios likewise, the Core Team can facilitate the assignment of roles and responsibilities for implementation to these agencies following adoption of the new climate-responsive policy.

Guiding questions:

- What agency at the national level is responsible for aligning national and local level policies, and/or for delegating implementation responsibilities to subnational governments?
- What sectoral ministries or departments will be assigned roles and responsibilities for implementing mainstreamed climate actions?

Further Tools & references:

- **SWOT Analysis Tool**  

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

It is important that the Core Team ensures that relevant stakeholders in charge of implementing the mainstreamed climate actions (as described above) remain engaged in carrying out their respective responsibilities throughout the Implementation Phase. In order to set up a system of accountability, clear and transparent delegation of roles and responsibilities for the Core Team, Reference Group and national-level implementing stakeholders in implementing the mainstreamed climate actions (and supporting on-the-ground implementation on the local level) may be outlined in the **Implementation Plan**, as well as the **Implementation Proposals** for the individual climate actions as part of the **Formulation Workplan**.

Individual **Stakeholder Terms of References**, as introduced in the **Stakeholder Analysis Tool**, may also be formulated in order 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. This is done 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. The lessons learned should be fed back into future policy phases, allowing improvements to be made by changing and updating the institutional systems and culture as needed.

Guiding questions:

- Which stakeholders are responsible for implementing each of the mainstreamed climate actions?
- What are the roles and responsibilities of each of the stakeholders? I.e. what are the stakeholders expected to do?
- What are the stakeholders authorized to do?
- What are the time frames and time commitments for completion?
- What are some protocols, agencies, etc. through which coordination processes can be institutionalized?
- Are there mechanisms to identify institutional strengths and weaknesses in the implementation process, and to feed back the lessons-learned into future phases?

Further Tools & references:

- **Stakeholder Analysis Tool**  
- **SWOT Analysis Tool**  

Evaluate whether the mainstreaming process has been effective and inclusive

As stated earlier, monitoring and evaluation should measure both whether or not mainstreaming objectives have been reached (the **results** of mainstreaming), and how the mainstreaming process did or did not help with achieving these objectives (the **process** of mainstreaming). As introduced in this Mainstreaming Framework, the process of mainstreaming involves a wide range of activities - spanning from determining the logistics, conducting the research & analysis and substantive planning, drafting the climate-responsive policy and seeing it through to adoption, delegating to implementing agencies, and supporting capacity development and research mobilization for successful policy implementation. The tasks adopted will depend on each country's Process Timeline.

In the interim and final evaluations, it is necessary to evaluate the process against the process indicators established in Phase A: Feasibility and Diagnosis, and by receiving feedback from the key stakeholders who were involved in the process through the established feedback mechanisms - taking a critical look at the strengths and weaknesses in the process against the mainstreaming objectives. The results of this evaluation should be fed back into future policymaking processes.

Guiding questions:

- After evaluating the mainstreaming process against the process indicators in your Diagnosis Paper, can it be said that the process was overall effective and inclusive?
- What were the strengths and weaknesses of the mainstreaming process?
- How should these learnings be reflected in future policymaking processes?

Further Tools & references:

- **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 in order to be officially adopted. Using the process indicators determined in the M&E framework in your Diagnosis Paper, during the interim and final evaluations there is need to assess whether this process was smoothly undertaken and the climate-responsive policy framework has been successfully agreed upon and adopted.

Guiding questions:

- Has the climate-responsive policy framework been sanctioned/adopted or agreed upon by the relevant oversight/decision-making bodies?
- How can the process of policy approval and adoption be improved for future policy processes?

Further Tools & references:

- **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 (depending on their mandate and terms of reference) also may have played a key role in providing instructions and support to the agencies responsible for implementation of the mainstreamed climate actions. Their role might have included ensuring that local and sectoral policies and plans have been aligned with the targets and indicators of the new climate-responsive policy in order for the climate actions to be put into motion, and that legislation provides an enabling framework and environment for implementation. During the interim and final evaluations, there is need to assess whether this process has been successful, and based on the results to consider how follow-on policies, plans and legislative instruments can be adapted to better support implementation moving forward.

Guiding questions:

- Have local and sectoral policies and plans have been aligned with the targets and indicators of the new climate-responsive policy to enable implementation of the mainstreamed climate actions?
- Does legislation provide an enabling framework and environment for implementation?
- How can follow-on policies, plans and legislative instruments can be adapted to better support implementation moving forward?

Further Tools & references:

- **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 stated 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 measuring the immediate inputs and outputs may make the most sense. For the final evaluation at the end of the policy implementation cycle, however, it is important to include impact-level evaluation in order to establish an evidence-based progress report to feed back into the next policy cycle.

In addition to the outcomes 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 phases.

Guiding questions:

- Has policy implementation to date sufficiently delivered tangible and intangible products (based on monitoring of output indicators) and benefits (based on monitoring of outcome indicators)?

- Has the policy implementation to date made progress towards achieving the mainstreaming objectives (based on monitoring of impact indicators)?
- Can the outcomes of implementation be sustained moving forward?
- Have climate and/or local-level conditions (e.g. elected officials, policy directions) changed so much to where a complete review of mainstreaming objectives and climate actions is necessary?
- How can the climate-responsive urban policy framework be adapted to better meet the mainstreaming objectives?

Further Tools & references:

- **Drafting Your Diagnosis Paper Tool**  

Phase D) Evaluation

Element 2) Resources & Capacities

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

As explained in Phase A: Feasibility and Diagnosis, the Core Team and Reference Group require sufficient capacities and resources to carry out the mainstreaming process, from research and planning, policy formulation to monitoring and evaluation. 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 future policymaking processes, and for future policy implementation cycles.

Guiding questions:

- Have the leadership and capacities of the Core Team and wider reference group been sufficient in undertaking the mainstreaming process?
- Have the capacities of institutions responsible for implementation of mainstreamed climate actions been sufficient?
- How can capacity development processes be improved for future policy processes?
- How can capacity development processes be improved for more effective implementation?

Further Tools & references:

- **Drafting Your Diagnosis Paper Tool**  

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

As explained previously, aligning the targets and indicators of the climate-responsive national-level urban policy with those of relevant urban and climate-related international frameworks can serve to ensure that the country is on track to fulfilling its international obligations, and potentially attract international climate finance opportunities for policy implementation. Various sources of climate finance, including international, bi-lateral, domestic and private financing mechanisms have been introduced in the **Climate Finance INFORMATION SHEET**.

In the interim and final evaluations, there is first of all a need to take a look at whether implementing agencies were able to mobilize sufficient financial resources to implement the mainstreamed climate actions. Evaluation periods also provide the opportunity to consider what challenges implementing agencies on the national and sub-national levels were faced with in mobilizing resources; whether or not these challenges have been successfully tackled in order to improve access to various sources of climate finance; and how to improve access and mobilize additional funding for implementation moving forward.

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 these objectives have not been achieved to satisfaction, there is need to consider how the Core Team, and national-level agency in charge of local government capacity development (e.g. Ministry of Interior, Department of Local Government etc.) can provide better support moving forward.

Guiding questions:

- Have sufficient resources been mobilized to implement the mainstreamed climate actions?
- What challenges did the implementing agencies on the national and subnational levels face in accessing international, domestic and private sources of climate finance?
- Have effective mechanisms been put in place to channel climate funding to the local level?
- Have local government capacities been sufficiently developed to access alternative sources of climate finance, and develop blended mechanisms to finance local climate action?
- How can the Core Team provide further support in resource mobilization moving forward?

Further Tools & references:

- **Drafting Your Diagnosis Paper Tool** 

Phase D) Evaluation	Element 3) Policies
Evaluate if mainstreaming process of national urban policy/ies have fully considered existing sectoral and sub-national policies and legislation	
<p>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 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. Evaluation periods 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.</p>	
<p>Guiding questions:</p> <ul style="list-style-type: none"> • Has the mainstreaming process fully considered existing sectoral and subnational policies and legislation, and has policy harmonization been successful? • Has implementation been synergized with existing sectoral and subnational policies and plans for efficiency? 	

- Are there opportunities to further harmonize policies, and create more synergies among existing processes?

Further Tools & references:

- **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 examining alignment with sectoral and subnational policies, plans and legislation, evaluation periods provide the opportunity to assess whether the climate-mainstreamed policy have 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 essential to ensure that international targets and indicators have been aligned with national priorities and needs, in order for them to address real issues that are relevant to local and sectoral stakeholders on the ground. Evaluation periods also provide the opportunity to reassess and consider whether any adjustments need to be made to this end.

Guiding questions:

- Has the climate-mainstreamed policy have been adequately aligned with the targets and indicators of urban- and climate-related international frameworks?
- Have international targets and indicators been adequately adapted to the local or sectoral context?
- Do any adjustments need to be made so that these targets and indicators are more relevant for addressing the climate change issues that are being experienced on the ground?

Further Tools & references:

- **Drafting Your Diagnosis Paper Tool**  

Phase D) Evaluation

Element 4) Institutions & 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 Formulation Workplan, and formulating Stakeholder Terms of References. Where appropriate in the country context, the Core Team was also involved in institutionalizing 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 policy implementation can be shared, and improvements can be made for future policy cycles.

The evaluation periods provide 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.

Guiding questions:

- Have the roles and responsibilities of implementing institutions been clearly laid out?
- Are coordination processes functioning effectively?

Further Tools & references:

- **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.

Evaluations provide the opportunity to assess whether various measures have been taken to ensure that meaningful participation of stakeholders was sustained throughout the process, and whether this has adequately resulted in a sense of ownership and commitment among stakeholders towards the implementation and outcomes of the climate-mainstreamed policy. Other factors to consider are whether stakeholder participation has been institutionalized to encourage multi-stakeholder participation in both the policy formulation (mainstreaming) process and policy 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.

Guiding questions:

- Have measures been taken to ensure that meaningful participation of stakeholders was sustained throughout the process?
- Has participation resulted in a sense of ownership and commitment among stakeholders?
- Has stakeholder participation been institutionalized?
- How can the stakeholder partnerships and networks formed throughout the mainstreaming process be strengthened and sustained?

Further Tools & references:

- **Drafting Your Diagnosis Paper Tool**  

Framework Tasks Tool (TT)

3. TEMPLATE

Use the Task Card templates provided below to individualize your mainstreaming process.

- **Task Cards** templates are provided for each of the phases.
- They can be replicated and customized to reflect the tasks in the Mainstreaming Framework **Overview Table** that you will be adopting for your customized mainstreaming process.
- You can also add your own tasks, as the Mainstreaming Framework is only a guidance and cannot foresee all the tasks you may need to undertake for your mainstreaming process

Phase A) Feasibility & Diagnosis			Element 1) Substantive process			Check List page(s): 1							
<p>➤ Identify drivers (<u>WHY</u>) you want to mainstream climate change action into urban policy - starting to make your case for mainstreaming</p>													
Notes													
Importance			Completion			Responsibility			Resources				
Priority	Necessary	Desirable	Not started	In progress	Completed				Budget	Training			
Notes													