

Guiding Principles for **City**
Climate
Action
Planning

TOOLKIT FOR CITY-LEVEL REVIEW

Guiding Principles for City Climate Action Planning **TOOLKIT FOR CITY-LEVEL REVIEW**

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INTRODUCTION

BACKGROUND

In December 2015, UN-Habitat and 45 endorsing partners launched Version 1.0 of the Guiding Principles for City Climate Action Planning (GP) at the Paris Climate Summit (COP-21; see link <http://unhabitat.org/books/guiding-principles-for-climate-city-planning-action>).

The intention now (May 2016) is to apply these GP in selected cities, i.e., to assess how closely ongoing climate action planning processes in those cities adhere to the GP, and to offer suggestions as needed to strengthen those processes. At the same time we plan to capture feedback on the Version 1.0 of the GP, with the aim of refining those Principles in the future as need be. As with the GP initiative as a whole, such city-level exercises should serve a broader aim of facilitating knowledge and information sharing amongst engaged partners, so as to promote strengthened, expanded and more consistent climate action planning in cities around the world.

The preferred methodology for applying, testing and capturing feedback on the GP is via 'accompanied missions'. Under such a mission (anticipated to be of roughly one week in duration), an assigned person would accompany a team that is supporting an ongoing climate action planning process or similar in a given city, and review the ongoing process from the perspective of the GP. [Our initial experience has shown that an actual site visit (as opposed to a desk review) is important to give the review sufficient credibility so that the resulting recommendations actually may be heeded].

To empower endorsing partners and others to undertake reviews of ongoing city-level climate action planning processes from the perspective of the GP via accompanied missions, in the present Toolkit we offer:

1. An **explanation of "how to" carry out a city-level assessment**, i.e., to apply the Guiding Principles to an ongoing city-level planning process via an accompanied mission, in the form of a generic Terms of Reference;
2. A **summary sheet of indicators** that correspond to the Guiding Principles, developed together with endorsing partners in early 2016 and updated per a recent field test;
3. A **worksheet** for calculating indicator values; and
4. A **sample Table of Contents** of an assessment report.



HOW TO CARRY OUT A CITY-LEVEL ASSESSMENT

(IN THE FORM OF GENERIC TERMS OF REFERENCE)

ASSESSMENT OF ONGOING CITY-LEVEL CLIMATE ACTION PLANNING PROCESS VIA 'ACCOMPANIED MISSION'

BACKGROUND

[See above.]

OBJECTIVES

- To assess how closely the climate action planning process in the targeted city is adhering to the GP, and offer corresponding recommendations; and
- To capture feedback and insights on how applicable the current versions of: (i) the GP and (ii) the associated set of indicators really are at the city level.

TASKS

To those ends, under the guidance of [*an endorsing partner*], the [*assigned person*] will proceed as follows:

BEFORE TRIP

1. Review document "*Guiding Principles for City Climate Action Planning*" and corresponding Toolkit. With reference to the Annex in the GP document and other sources, review the city-level climate action plans and annual implementation reports that are considered promising practices. Review "*Guiding Principles for City Climate Action Planning: Assessment Report*" for Vilankulo, Mozambique (May 2016; available upon request).
2. To the extent possible, gather and review information on the *city* to be visited and its ongoing climate action planning process. Obtain and review a copy of a document that sets out the process that is being followed. Coordinate with the team that is supporting this ongoing planning process. Also obtain and review as possible relevant information at the *country* level, including its Nationally Determined Contribution (NDC) and (as possible) other policy frameworks that govern for city-level planning and climate action planning in that country.
3. Discuss the above with [*endorsing partner*], and clarify any questions.

DURING TRIP

4. Accompany the planning team to meetings with public officials and stakeholders as invited. Gather necessary data. (Note: Formal presentations of the Guiding Principles to local stakeholders, alongside an ongoing climate action planning process, might confuse matters if we seem to be introducing an alternative methodology. Therefore such presentations are not encouraged; if such are undertaken they should be kept general. Instead the *assigned person* should generally work 'behind the scenes'.)
5. Gather necessary information and begin to fill out worksheet (provided in Toolkit). As shown, for each Guiding Principle the worksheet will include both: (i) the calculation of an indicator value, and (ii) qualitative discussion. Compile the documentation or 'evidence' (hard or soft copy) that supports the indicator values assigned. Obtain contact information of local focal points, and otherwise pave the way for possible follow-up questions as necessary, via telephone, Skype and/or email.
6. To a limited extent and as previously agreed, support the team facilitating the ongoing climate action planning process¹.

¹ While the main focus of the consultancy of course will be to carry out the present Terms of Reference, it is envisioned that the consultant can also, to a limited extent and as previously agreed, support as requested the team actually facilitating the ongoing planning process, e.g., by serving as a facilitator in a workshop breakout group and so on.

AFTER TRIP

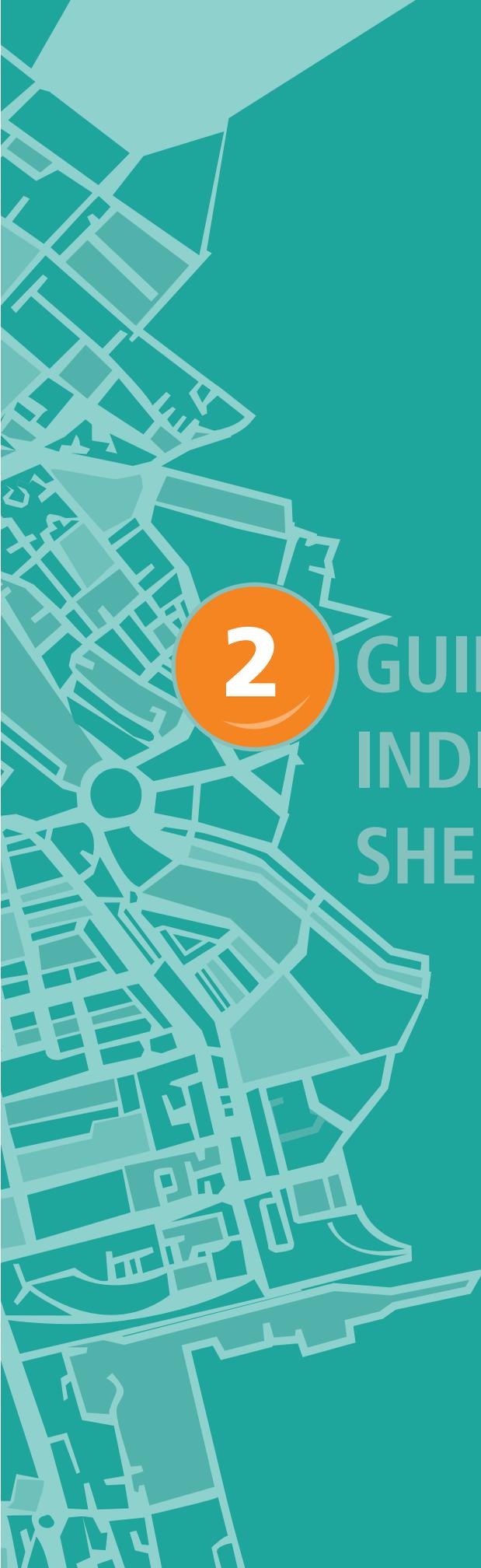
7. Complete *draft* worksheet. *Draft* worksheet will include, as needed, recommendations for improving the climate action planning process in the given city, in light of the Guiding Principles. Review draft worksheet with [*endorsing partner*]. As endorsing partner sees fit, [*or per policies of the GP initiative*], draft worksheet may be shared with one or more other endorsing partners for peer review². (Anticipate more than one such revision.) Note that the worksheet is an internal document that is not intended to be user-friendly. Once the indicator values and supporting analysis are largely finalized, the idea is to convert the document into a more user-friendly report fit for external consumption (see Step 8).
8. After worksheet is finalized, convert worksheet into a *draft* assessment report based on the suggested table of contents in Toolkit³.
9. Review *draft* assessment report including indicator summary sheet with city officials and those supporting the climate action planning process in that city. While sharing preliminary recommendations, gather suggestions and feedback on the draft assessment.
10. Revise and prepare the *final* Assessment Report. This finalized external report will be shared both with those immediately involved with the planning process in *the target city*, as well as with a broader set of endorsing partners; it will also be posted to the Guiding Principles web page maintained by UN-Habitat. Provide [*the endorsing partner with*] a complete set of supporting documentation.

OUTPUTS

- Draft of completed worksheet
- Assessment report including indicator summary sheet (draft and final versions)
- Complete set of supporting documentation and contact information

² Likewise note that the Worksheet offers an opportunity to provide feedback on the Guiding Principles and their indicators. This feedback eventually will be discussed with partners that endorse the Guiding Principles.

³ Please see the final Assessment Report for Vilankulo to better understand how relevant material from the (internal) worksheet can be extracted and formatted as the (external) Assessment Report per the suggested Table of Contents.



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GUIDING PRINCIPLES INDICATOR SUMMARY SHEET

CITY:

DRAFT DATE:

COLOR RATING KEY

Preliminary evidence	Conclusive evidence	Preliminary evidence	Conclusive evidence	Preliminary evidence	Conclusive evidence	Not applicable / Not determined / Pending / Cannot determine ⁴
No or Weak compliance		Partial compliance		Full compliance		

GUIDING PRINCIPLES ⁵	INDICATOR ⁶		ASSESSMENT
AMBITIOUS – Setting goals and implementing actions that evolve iteratively towards an ambitious vision. PLAN	1A	Mitigation. For a given long-term target year (of 20 years or more), a city-level plan's long-term emission reduction targets meet or exceed those found in the Nationally Determined Contributions (NDCs) of the corresponding country AND/OR the city has set a 2050 target of 80% or greater reductions from base year (or equivalent).	
	1B	Adaptation. The plan not only seeks to make vulnerable populations, key systems and critical infrastructure more resilient to climate-related risks, but to do so in a way that is transformative ⁷ , e.g., increases security of tenure or otherwise addresses some of the root causes of poverty.	
	1C	Mitigation and Adaptation. The city plan sets a date to review, update and strengthen the targets and actions in the current plan.	
INCLUSIVE – Involving multiple city government departments ⁸ , stakeholders and communities (with particular attention to marginalized groups), in all phases of planning and implementation. PROCESS	2A	Documented process of consulting with civil society during climate action planning shows specific efforts at outreach to or communications with ONE OR MORE OF THE FOLLOWING marginalized groups: (i.) Women's groups, (ii.) Neighborhoods where the average household income is below the median for the city or region, (iii.) Neighborhoods with a history of flooding or landslides, or that an assessment has shown are highly vulnerable to such climate-related hazards, AND/OR (iv.) Any other groups explicitly recognized and marginalized. Specify:	
	2B	Evidence of ongoing engagement with other (non-marginalized) stakeholders, e.g. economic actors that are potential implementation partners.	

⁴ Show assessment in grey if virtually no data are available as basis for assessment or city plan not applicable to this indicator.

⁵ Column also shows whether the Principle primarily concerns: (i.) the climate action planning process, and/or (ii.) the plan itself – the main output of the planning process. Corresponding indicator(s) follow suit.

⁶ Several indicators refer to a single 'plan', however in the case of mainstreaming this can refer to multiple plan documents.

⁷ Transformative resilience is in reference Pelling, M. (2010). *Adaptation to climate change: from resilience to transformation*. Routledge.

⁸ For indicator reflecting cross-departmental engagement within the city, see Indicator 4.1A.

<p>FAIR – Seeking solutions that equitably address the risks of climate change, and share the costs and benefits of action across the city.</p> <p>PLAN</p>	<p>3A</p>	<p>Mitigation. Policy goals in the plan explicitly reflect ONE OF THE FOLLOWING:</p> <p>(i.) An aim not to unfairly or excessively burden the poor with the costs and any negative impacts associated with climate action</p> <p>(ii.) The principle of ‘common but differentiated responsibility’</p> <p>AND/OR</p> <p>(iii.) The ‘emitter (or polluter) pays’ principle.</p>	
	<p>3B</p>	<p>Adaptation. At least some climate actions in the plan are clearly targeted at helping ONE OR MORE OF THE FOLLOWING marginalized groups:</p> <p>(i.) Women’s groups,</p> <p>(ii.) Neighborhoods where the average household income is below the median for the city or region,</p> <p>(iii.) Neighborhoods with a history of flooding or landslides, or that an assessment has shown are highly vulnerable to such climate-related hazards,</p> <p>AND/OR</p> <p>(iv.) Any other groups explicitly recognized and marginalized. Specify:</p>	
<p>COMPREHENSIVE – Coherently undertaking adaptation and mitigation actions across a range of sectors within the city ...</p> <p>PROCESS AND PLAN</p>	<p>4.1A</p>	<p>Process. Existence within the local government of a standing cross-departmental working group that has met at least once in the past year, whose terms of reference or written mandate includes promotion of coordinated climate action.</p>	
	<p>4.1B</p>	<p>Plan. The climate action plan addresses BOTH adaptation AND mitigation,</p> <p>AND</p> <p>Adaptation actions address two or more sectors,</p> <p>AND</p> <p>Mitigation actions address two or more sectors</p>	

<p>INTEGRATED (horizontally and vertically) – ... as well as supporting broader regional initiatives and the realization of priorities of higher levels of government when possible and appropriate.</p> <p>PROCESS</p>	<p>4.2A</p> <p>4.2B</p> <p>4.2C</p>	<p>Inter-municipal (includes other localities and metropolitan). Existence of a plan or formal agreement between the local government and one or more other adjacent local governments AND/OR metropolitan level of government, that explicitly references coordination or collaboration in climate action or resilience planning.</p> <p>Intermediate level. Existence of a plan or formal agreement between the local government and an intermediate level of government (e.g. province or state) that explicitly references coordination or collaboration in climate action or resilience planning.</p> <p>National. EITHER</p> <p>Nationally Determined Contribution OR National Climate Action Plan in the corresponding country includes provisions for empowering or coordinating climate action by local governments,</p> <p>AND/OR</p> <p>A proposal developed by the national government and either (i) registered as a Nationally Appropriate Mitigation Action or (ii) submitted to a multilateral climate fund (GEF, AF, GCF) includes an explicit role for local governments (including the one in question) in implementing or executing the action.</p>	
<p>RELEVANT – Delivering local benefits and supporting local development priorities.</p> <p>PROCESS AND PLAN</p>	<p>5A</p>	<p>Plan includes a statement (or equivalent) that the criteria for decision-making included the delivery of climate benefits, as well as support to local development priorities</p> <p>AND</p> <p>Plan clearly identifies that both delivery climate benefits and support to local develop priorities informed planned actions.</p>	
<p>ACTIONABLE – Proposing cost-effective actions that can realistically be implemented by the actors involved, given local mandates, finances and capacities.</p> <p>PLAN</p>	<p>6A</p>	<p>THREE OR MORE of the following conditions are met:</p> <p>(i.) Responsibilities for implementing actions are assigned to specific entities/agents,</p> <p>(ii.) At least half of the actions presented in the plan include an estimate of implementation costs and financial returns (ideally presented as both net present value and internal rate of return),</p> <p>(iii.) At least twenty percent of the actions designate a planned funding source,</p> <p>(iv.) Some actions are shown as ‘quick wins’,</p> <p>(v.) Some pilot actions are included,</p> <p>(vi.) The plan includes actions to cut emissions from and/or improve resilience of the municipal estate and operations,</p> <p>(vii.) The plan sequences actions over time,</p> <p>(viii.) The plan includes a process for engaging suppliers and procuring key assets and facilities,</p> <p>(ix.) The plan includes a strategy for advocacy, communication, dissemination and/or implementation.</p>	

<p>EVIDENCE-BASED – Reflecting scientific knowledge and local understanding, and using assessments of vulnerability and emissions and other empirical inputs to inform decision-making.</p> <p>PROCESS AND PLAN</p>	<p>7A</p>	<p>Mitigation. Plan includes a summary of a baseline greenhouse gas emission inventory (and potentially an energy costs inventory), disaggregated by sector and produced according to international GHG accounting guidelines,</p> <p>AND</p> <p>A statement that this inventory was used to inform and support decision-making and to help prioritize mitigation actions.</p>	
<p>TRANSPARENT – Following an open decision-making process and [providing for public reporting on progress towards achieving] goals...</p> <p>PROCESS</p>	<p>8.1A</p>	<p>ALL of the following conditions are met;</p> <p>The plan summarizes:</p> <p>(i.) Opportunities for engagement that civil society had during the planning process,</p> <p>(ii.) The criteria and process for prioritizing climate actions,</p> <p>AND</p> <p>(iii.) Commitments for reporting (including in public meetings) on progress towards implementing the plan,</p> <p>AND</p> <p>More detailed evidence to support this summary information or confirm implementation of these plans is available from the local government upon request,</p> <p>AND</p> <p>Plan is available online, in a language that is understood by the public as well as those with technical understanding.</p>	
<p>VERIFIABLE – ... setting goals that can be measured, reported, independently verified, and evaluated.</p> <p>PLAN</p>	<p>8.2A</p>	<p>The plan features a monitoring and evaluation framework that BOTH:</p> <p>(i.) Includes indicators that correspond to key climate targets and/or actions,</p> <p>AND</p> <p>(ii.) Provides for the periodic measurement of progress towards meeting those targets or actions</p>	



WORKSHEET FOR CITY-LEVEL REVIEW

BASIC INFORMATION

CITY OR MUNICIPALITY ⁹ :
COUNTRY:
LEAD REVIEWER: SECONDARY REVIEWER(S)/BACKSTOP:
VERSION OF GUIDING PRINCIPLES USED: Version 1.0 (December 2015)
VERSION OF INDICATORS USED (DATE):
REPORT DATE:

A. BACKGROUND

MISSION

- Period of mission (start and end dates; if applicable):
- Other persons on your mission (names and organizations):
- Briefly describe key meetings and events, clearly indicating types of stakeholders (e.g., local officials, national officials, civil society, etc.):
- If you played a role or roles on this mission other than carrying out your terms of reference, briefly describe:

CITY & COUNTRY

- Population of city or municipality that represents the study area or geographic scope of the climate action planning exercise (can provide basic detail, e.g., urban vs. rural, city vs. metropolitan, date, source, etc.):
- Type of administrative entity (e.g., municipality):
- Is the mayor or chief executive officer:
 - Elected
 - Appointed
- Is the city/municipality part of a metropolitan region? If so name and briefly describe the metropolitan region:

⁹ The local government entity mentioned here will be the basis for the assessment, with corresponding study area.

- If in your observation an intermediate level of government (e.g., province, state) plays an active role in city/municipal affairs, list the intermediate level and briefly describe:

- Basic type of (national) government:

- If a sub-city level of government (e.g., district) plays a relevant role in climate action planning, briefly describe this level and its role:

CLIMATE ACTION PLANNING PROCESS AND PLAN

- Is the primary subject of the present assessment (check one):

-
- A climate action plan (or similar) that is stand-alone
-
-
- Climate action planning (or similar) that is mainstreamed

- (If stand-alone) Give the name of the climate action plan (existing or under development) that is the subject of the present assessment:

- Finalized and approved, or still in draft (check one)?

Finalized and approved, or still in draft (check one)?

-
- Approved (approval date):
-
-
- Not yet approved

- Who if anyone has been assisting the city with the present (or a recently completed) climate action planning process (external support, including donor(s) and/or consultancy (ies))? Obtain name and contact information for key contacts.

- Does the climate action planning process focus on (check one):

-
- Adaptation or climate resilience
-
-
- Mitigation
-
-
- Both

- Elaborate if necessary:

- Briefly describe the intended climate action planning process or methodology. Obtain copy of diagram with description of basic process if possible. (Annex A)

- Approximately when did this process begin?

- When is it scheduled to end (if known)?

- Approximately at what stage in this climate action planning process is the city at present?

- How does the actual process being followed seem to differ from the intended process (if at all)?

- At the national level, what statutory basis exists (if any) for climate action planning at the city level? (Obtain copies of key documents if possible.) If there is little/no statutory basis for such, why is the city undertaking this effort?

- What antecedents to the present process exist in the city, in terms of previous climate action initiatives?

- How does the present climate action planning process relate to broader, ongoing planning activities, including statutory processes? If any conflicts or inconsistencies exist briefly describe, with quotes from officials if applicable.

B. APPLICATION OF GUIDING PRINCIPLES (WORKSHEET)

This section includes space for assessing how thoroughly the Guiding Principles are being observed in the current city-level climate action planning process, both: (i) according to indicators, and (ii) qualitatively.

Given that the (initial) mission to a given city will take place during an ongoing planning process, it may well prove impossible to fully and definitively assign values to all indicators, some of which relate more to the final plan rather than to an ongoing process. At the same time there may well be value in reviewing the final plans developed subsequently, or even revisiting a given city one or two years later. Such follow-up would serve to see whether suggestions offered resulted in a modified process or a strengthened final document. In such cases an initial assessment would become a ‘baseline’ study, and may well contain some indicator values that are only ‘provisional’.

COLOR RATING KEY

Preliminary evidence	Conclusive evidence	Preliminary evidence	Conclusive evidence	Preliminary evidence	Conclusive evidence	Not applicable / Not determined / Pending / Cannot determine ¹⁰
Weak compliance		Partial compliance		Full compliance		

¹⁰ Show assessment in grey if virtually no data are available as basis for assessment, or if indicator is not applicable to this planning process.

PRINCIPLE 1 – AMBITIOUS

Setting goals and implementing actions that evolve iteratively towards an ambitious vision (GP, p.3).

INDICATOR 1A

Mitigation. For a given long-term target year (of 20 years or more), a city-level plan's long-term emission reduction targets meet or exceed those found in the Nationally Determined Contributions (NDCs) of the corresponding country AND/OR the city has set a 2050 target of 80% or greater reductions from base year (or equivalent).

Worksheet

- City target (with target year):
- Basic unit of measurement (e.g., total vs. per capita emissions):
- Base year:
- NDC target (with target year):
- Basic unit of measurement:
- Base year:
- If necessary, show calculation of extrapolation of targets for either city or country here:

Attach copy of city plan; relevant page number(s):

Attach copy of NDC; relevant page number(s):

Indicator assessment (fill in one cell only)

City target < NDC target	City target = NDC target	City target = NDC target AND city has set a 2050 target of 80% or greater reduction from base year	City target > NDC target	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Green	Grey

*Supplemental qualitative discussion as necessary***INDICATOR 1B**

Adaptation. Adaptation. The plan not only seeks to make vulnerable populations, key systems and critical infrastructure more resilient to climate-related risks, but to do so in a way that is transformative¹¹, e.g., increases security of tenure or otherwise addresses some of the root causes of poverty.

Worksheet

- Does the plan contain actions to build resilience to climate related risks? YES NO
- IF SO, do the plan actions specify building resilience to climate related risks in vulnerable communities¹²? YES NO
- ALSO IF SO, how many sectors do these actions address: _____
- List: _____
- Are the actions to build climate resilience transformative? (that is, do the actions seeks to address the root social causes of vulnerability?) YES NO

Attach a copy of city plan; relevant page number(s):

¹¹ Transformative resilience is in reference Pelling, M. (2010). Adaptation to climate change: from resilience to transformation. Routledge.

¹² 'Vulnerable communities' refers to both vulnerable 'spatial' communities and vulnerable social communities such as women, children, migrants etc.

Indicator assessment (fill in one cell only)

Plan does not try to build resilience to risks, OR Only tries to do so in one sector OR Only tries to do so for one community.	Plan contains actions that seek to build resilience to climate-related risks in the most vulnerable communities, AND Tries to do so in two or more sectors.	The plan seeks not only to address resilience of vulnerable communities, but also seeks transformative resilience whereby at least some of the actions try to address some of the root causes of poverty, e.g., by increasing security of tenure, through pro-poor job creation, and so on, AND The plan provides safeguards to ensure that human rights are fully respected when considering the possible relocation of the most vulnerable populations (if this issue is addressed).	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

INDICATOR 1C

Mitigation and Adaptation. The city plan sets a date to review, update and strengthen the targets and actions in the current plan.

Worksheet

- Does the city plan set a timeline for which to update and launch a new version? YES NO
- If yes, what is the timeline:

Indicator assessment (fill in one cell only)

Plan does not set a date to update the targets and actions.	Plan sets a date to update the targets and actions.	Not applicable / Not determined / Pending/ Cannot determine
Red	Green	Grey

Supplemental qualitative discussion as necessary

PRINCIPLE 2 – INCLUSIVE

Involving multiple city government departments, stakeholders and communities (with particular attention to marginalized groups), in all phases of planning and implementation.¹³

¹³ For indicator reflecting cross-departmental engagement within the city, see Indicator 4.1A.

INDICATOR 2A

Documented process of consulting with civil society during climate action planning shows SPECIFIC EFFORTS at outreach to or communications with ONE OR MORE OF THE FOLLOWING marginalized groups:

- (i.) Women's groups,
 - (ii.) Neighborhoods where the average household income is below the median for the city or region,
 - (iii.) Neighborhoods with a history of flooding or landslides, or that an assessment has shown are highly vulnerable to such climate-related hazards,
- AND/OR
- (iv.) Any other groups explicitly recognized and marginalized. Specify:

Worksheet

- Consultation process with civil society documented in final plan document:
- Forms of outreach and communication used (list):
- Outreach includes marginalized groups (list pertinent groups, i. – iv.):
- Final plan makes reference to the use of feedback from consultations to develop activities? YES NO

Attach a copy of city plan; relevant page number(s):

Indicator assessment (fill in one cell only)

Plan does not reference consultation with stakeholder groups	Plan references consultation with stakeholder groups but none of the above marginalized groups	Plan references consultation with stakeholder groups, with 1 of the above marginalized groups in open consultations	Plan references consultation with stakeholder groups, including ≥ 2 of the above marginalized groups in open consultations	Plan references closed consultation held with ≥ 1 marginalized groups, in addition to open consultations	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Yellow	Green	Green	Grey

Supplemental qualitative discussion as necessary

INDICATOR 2B

Evidence of ongoing engagement with other (non-marginalized) stakeholders, e.g. economic actors that are potential implementation partners

Worksheet

- Does the plan include other stakeholders other than the community and municipality (e.g. economic actors)? YES NO
- If so, list types of stakeholders:
- Is there any indication that other stakeholders have a role for implementation? YES NO

Indicator assessment (fill in one cell only)

Consultation does not include other stakeholders (e.g. economic actors that are potential implementation partners)	Consultation partially includes other stakeholders (e.g. economic actors that are potential implementation partners)	Consultation fully includes other stakeholders (e.g. economic actors that are potential implementation partners)	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

PRINCIPLE 3 – FAIR

Seeking solutions that equitably address the risks of climate change, and share the costs and benefits of action across the city

INDICATOR 3A

Mitigation. Policy goals in the plan explicitly reflect ONE OF THE FOLLOWING:

- (i.) An aim not to unfairly or excessively burden the poor with the costs and any negative impacts associated with climate action
 - (ii.) The principle of ‘common but differentiated responsibility’
- AND/OR
- (iii.) The ‘emitter (or polluter) pays’ principle.

Worksheet

- Do the policy goals in the plan exhibit any of the items in the above list (list numbers applicable):

Indicator assessment

The policy goals in the plan do not exhibit any of the items in the above list.	The policy goals in the plan exhibit at least 1 of the items in the above list.	Not applicable / Not determined / Pending/ Cannot determine
Red	Green	Grey

Supplemental qualitative discussion as necessary

INDICATOR 3B

Adaptation. At least some climate actions in the plan are clearly targeted at helping ONE OR MORE OF THE FOLLOWING marginalized groups:

- (i.) Women’s groups,
 - (ii.) Neighborhoods where the average household income is below the median for the city or region,
 - (iii.) Neighborhoods with a history of flooding or landslides, or that an assessment has shown are highly vulnerable to such climate-related hazards,
- AND/OR
- (iv.) Any other groups explicitly recognized and marginalized. Specify:

Worksheet

- Some of the plan’s climate actions are clearly targeted at marginalized groups: YES NO (list i – iv):
- If yes, what proportion of adaption actions are targeted at these groups (%):

Attach a copy of city plan; relevant page number(s):

Indicator assessment (fill in one cell only)

Plan’s climate actions are not clearly targeted at marginalized groups	Plan’s climate actions are targeted at only 1 of the above marginalized groups	Plan’s climate actions are clearly targeted at ≥2 of the above marginalized groups	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

PRINCIPLE 4.1 – COMPREHENSIVE

Coherently undertaking adaptation and mitigation actions across a range of sectors within the city ...

INDICATOR 4.1A

Process. Existence within the local government of a standing cross-departmental working group that has met at least once in the past year, whose terms of reference or written mandate includes promotion of coordinated climate action.

Worksheet

- Is there a cross-departmental working group with the mandate to coordinate climate action? YES NO
- If so, how many departments are involved in the working group (list):
- Additionally, if so, how many meetings have been undertaken by the working group this year (list dates):

Attach a copy of city plan; relevant page number(s):

Indicator assessment (fill in one cell only)

There is no cross-departmental working group in place with the mandate to coordinate climate action	There is a cross-departmental working group in place with the mandate to coordinate climate action that has met once in past year	There is a cross-departmental working group in place with the mandate to coordinate climate action that has met more than once in past year	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Grey

*Supplemental qualitative discussion as necessary***INDICATOR 4.1B**

Plan. The climate action plan addresses BOTH adaptation AND mitigation,
AND
Adaptation actions address two or more sectors,
AND
Mitigation actions address two or more sectors.

Worksheet

- Plan covers mitigation , adaptation , or BOTH
- # of sectors addressed in adaptation actions (if any) (list):
- # of sectors addressed in mitigation action (if any) (list):

Indicator assessment (fill in one cell only)

Climate action plan addresses ONLY adaptation or mitigation, in only 1 sector	Climate action plan addresses ONLY adaptation or mitigation, in ≥2 sectors	Climate action plan addresses BOTH adaptation and mitigation, but only in 1 sector each	Climate action plan addresses BOTH adaptation and mitigation, in ≥2 sectors each	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

PRINCIPLE 4.2 – INTEGRATED [HORIZONTALLY AND VERTICALLY]

...As well as supporting broader regional initiatives and the realization of priorities of higher levels of government when possible and appropriate.

INDICATOR 4.2A

Inter-municipal (includes other localities and metropolitan). Existence of a plan or formal agreement between the local government and one or more other adjacent local governments AND/OR metropolitan level of government, that explicitly references coordination or collaboration in climate action or resilience planning.

Worksheet

- Is the local government working with another local authority on climate action: YES NO
- If YES, is there a plan or formal agreement for their collaboration on climate action: YES NO
- Also if YES, how many local governments is it working with on climate action:
- Does the city-climate plan reference a formal agreement with another local authority?
- If a metropolitan body exists, is there a plan or formal agreement with this authority to collaborate on climate action or resilience planning? YES NO

Attach a copy of city plan; relevant page number(s):

Indicator assessment (fill in one cell only)

The municipality is not working with other local authorities on climate action	The municipality has an informal agreement with at least 1 other local government or it's metropolitan body to work on climate action	The municipality has a formal agreement with at least 1 other local government or it's metropolitan body to work on climate action	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

INDICATOR 4.2B

Intermediate level. Existence of a plan or formal agreement between the local government and an intermediate level of government (e.g. province or state) that explicitly references coordination or collaboration in climate action or resilience planning

Worksheet

- Is there a climate action or resilience plan at the intermediate level of government the municipality is located in? YES NO
- If yes, does the municipal plan reference or incorporate the intermediate level of government's plan for climate action? YES NO
- Is there a formal agreement that supports climate action and resilience planning between the intermediate level of government and the municipality? YES NO
- Does EITHER the plan(s) or formal agreement explicitly reference coordination or collaboration in climate action or resilience planning? YES NO

Attach a copy of city plan; relevant page number(s):

Indicator assessment (fill in one cell only)

Lack of an intermediate level government plan and/or formal agreement between the local government and an intermediate level of government	Existence of an intermediate level government plan and/or formal agreement between the local government and an intermediate level government with little or no explicit reference to coordination or collaboration in climate action or resilience planning	Existence of an intermediate level government plan and/or formal agreement between the local government and an intermediate level government with explicit reference to coordination or collaboration in climate action or resilience planning	Not applicable / Not determined / Pending / Cannot determine
Red	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

INDICATOR 4.2C

National. EITHER

Nationally Determined Contribution OR National Climate Action Plan in the corresponding country includes provisions for empowering or coordinating climate action by local governments,

AND/OR

A proposal developed by the national government and either (i) registered as a Nationally Appropriate Mitigation Action or (ii) submitted to a multilateral climate fund (GEF, AF, GCF) includes an explicit role for local governments (including the one in question) in implementing or executing the action.

Worksheet

- Empowering or coordinating local government climate action referenced in NDC YES NO (include page #):
- Local government climate action referenced in National Climate Action Plan YES NO (include page #):
- Role for local government included in NAMA YES NO or multilateral climate fund proposal by national government YES NO (include page #):
- Are the actions in the city climate action plan aligned with priorities in the country's NDC YES NO , and/or the national climate action plan YES NO , and/or NAMA YES NO , and/or multilateral climate fund proposal by national government YES NO (list relevant actions and associated national plan in parenthesis):

Attach a copy of city plan; relevant page number(s):

Indicator assessment (fill in one cell only)

Local climate action NOT referenced and/or given a role in the NDC or national climate action plan, or NAMA or multilateral climate fund proposal by national government	Local climate action referenced and/or given a role in the NDC or national climate action plan, but with no coordinating, empowering or capacity-building mechanisms or provisions yet established	One or more local authorities are given a role in a NAMA or a multilateral climate fund proposal by the national government	Local climate action referenced and/or given a role in the NDC or national climate action plan, with clear coordinating, empowering or capacity-building mechanisms or provisions	Not applicable / Not determined / Pending / Cannot determine
Red	Yellow	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

PRINCIPLE 5 – RELEVANT

Delivering local benefits and supporting local development priorities.

INDICATOR 5A

Plan includes a statement (or equivalent) that criteria for decision-making included the delivery of climate benefits, as well as support to local development priorities

AND

Plan clearly identifies that both delivery of climate benefits and support to local develop priorities informed planned actions.

Worksheet

- Climate benefits AND/OR support of local development priorities of planned action (list):
- Statement (s) that decision making criteria (ion) is to deliver climate benefits AND/OR support local development priorities (list):

Attach a copy of city plan; relevant page number(s):

Indicator assessment (fill in one cell only)

Plan neither identifies climate benefits and/or support for local development priorities, nor does it identify delivering such as at least one criterion for decision making.	Plan identifies climate benefits and/or support for local development priorities, but does not identify delivering such as at least one criterion for decision making.	Plan identifies climate benefits and/or support for local development priorities, and identifies delivering such as at least one criterion for decision making.	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

PRINCIPLE 6 – ACTIONABLE

Proposing cost-effective actions that can realistically be implemented by the actors involved, given local mandates, finances and capacities.

INDICATOR 6A

THREE OR MORE of the following conditions are met:

- (i.) Responsibilities for implementing actions are assigned to specific entities/agents,
- (ii.) At least half of the actions presented in the plan include an estimate of implementation costs and financial returns (ideally presented as both net present value and internal rate of return),
- (iii.) At least twenty percent of the actions designate a planned funding source,
- (iv.) Some actions are shown as 'quick wins',
- (v.) Some pilot actions are included,
- (vi.) The plan includes actions to cut emissions from and/or improve resilience of the municipal estate and operations,
- (vii.) The plan sequences actions over time,
- (viii.) The plan includes a process for engaging suppliers and procuring key assets and facilities,
- (ix.) The plan includes a strategy for advocacy, communication, dissemination and/or implementation.

Worksheet

- Conditions met (list i – vi):

Indicator assessment (fill in one cell only)

No conditions met: Not Actionable	1-2 conditions met: Partially actionable	≥3 conditions met: Actionable	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

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PRINCIPLE 7 – EVIDENCE-BASED

Reflecting scientific knowledge and local understanding, and using assessments of vulnerability and emissions and other empirical inputs to inform decision-making.

INDICATOR 7A

Mitigation. Plan includes a summary of a baseline greenhouse gas emission inventory (and potentially an energy costs inventory), disaggregated by sector and produced according to international GHG accounting guidelines,

AND

A statement that this inventory was used to inform and support decision-making and to help prioritize mitigation actions.

Worksheet

- Does the plan include a summary baseline greenhouse gas emission inventory? YES NO
- If yes, is it disaggregated by sector? YES NO
- Also if yes, does the plan reference the use of the GHG inventory to support decision making and prioritize mitigation actions? YES NO
- What GHG methodology is used to develop the inventory (international GHG accounting guidelines):
- Does the plan include an energy cost inventory? YES NO

Indicator assessment

The plan does not include a city GHG emissions inventory and statement that the inventory was used to support decision making and prioritize actions	The plan includes a city GHG emissions inventory but lacks explicit expression that the inventory was used to support decision making and prioritize actions	The plan includes a city GHG emissions inventory and statement that the inventory was used to support decision making and prioritize actions	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

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INDICATOR 7B

Adaptation. Plan includes a summary of a vulnerability assessment, with a spatial dimension, that reflects local and scientific knowledge (ideally based upon credible data from climate projections, local infrastructure inventories, socioeconomic data and so on),

AND

A statement that this assessment was used to inform and support decision-making, and to help prioritize adaptation actions

Worksheet

- Does the plan include a summary vulnerability assessment: YES NO
- If YES, is the vulnerability assessment expressed spatially: YES NO
- Also if YES, does the vulnerability assessment reflect local knowledge: YES NO
- Also if YES, does the vulnerability assessment reflect scientific knowledge: YES NO
- Does the plan include a statement(s) that actions are supported by the vulnerability assessment: YES NO

Indicator assessment (fill in one cell only)

Climate actions in the Plan are NOT informed by a vulnerability assessment	Climate actions in the Plan are informed by a vulnerability assessment with ONLY local knowledge	Climate actions in the Plan are informed by a vulnerability assessment with ONLY scientific knowledge	Climate actions in the Plan are informed by a vulnerability assessment with BOTH local and scientific knowledge	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

If the plan calls for any follow-up scientific studies that are relevant, text could be discussed here:

PRINCIPLE 8.1 – TRANSPARENT

Following an open decision-making process and [providing for public reporting on progress towards achieving] goals...

INDICATOR 8.1A

ALL of the following conditions are met;
 The plan summarizes:
 (i.) Opportunities for engagement that civil society had during the planning process,
 (ii.) The criteria and process for prioritizing climate actions, AND
 (iii.) Commitments for reporting (including in public meetings) on progress towards implementing the plan,
 AND
 More detailed evidence to support this summary information or confirm implementation of these plans is available from the local government upon request,
 AND
 Plan is available online, in a language that is understood by the public as well as those with technical understanding.

Worksheet

- Are ALL conditions met: YES NO
- Website for climate action plan:
- Focal point within Municipality to retrieve supporting information on the plan:
- If ALL conditions not met, list missing:

Indicator assessment (fill in one cell only)

No conditions met	Some conditions met	All conditions met	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

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PRINCIPLE 8.2 – VERIFIABLE

... Setting goals that can be measured, reported, independently verified, and evaluated.

INDICATOR 8.2A

- The plan features a monitoring and evaluation framework that BOTH:
- (i.) Includes indicators that correspond to key climate targets and/or actions,
- AND
- (ii.) Provides for the periodic measurement of progress towards meeting those targets or actions

Worksheet

- Plan includes indicators to monitor targets or actions: YES NO
- What is the reporting period of progress of the plan targets or actions:

Attach a copy of city plan; relevant page number(s):

Indicator assessment (fill in one cell only)

Plan includes NEITHER indicators for targets or actions nor provides for periodic measurement of progress	Plan includes 1: EITHER indicators for targets or actions or provides for periodic measurement of progress	Plan includes BOTH indicators for targets or actions and provides for periodic measurement of progress	Not applicable / Not determined / Pending/ Cannot determine
Red	Yellow	Green	Grey

Supplemental qualitative discussion as necessary

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C. CONCLUSIONS & RECOMMENDATIONS

FOR CITY-LEVEL CLIMATE ACTION PLANNING PROCESS

A. It may be that during your mission your discussions with local officials and stakeholders about the Guiding Principles and associated indicators have prompted some immediate considerations of changes in the planning process being followed. If so please clearly document, including officials met with, and provide any supporting evidence.

B. How if at all would you recommend improving the climate action planning process in the city that you visited? Organize recommendations in order of importance, with explicit reference when possible to relevant Principles.

(OPTIONAL) FOR UNDERLYING PLANNING PROCESS MODEL

In some cases the planning team that you accompanied is seeking to apply a step-by-step planning process model. You may have more general recommendations for improving this process model. These suggestions would apply not just to the city that you visited but rather to the underlying model, which may be applied in a number of cities. If so, please provide these recommendations here.¹⁴

FOR GUIDING PRINCIPLES

Offer any recommendations aimed at improving the Guiding Principles and its publication that could be considered for a possible future Version 2.0 of the Principles, e.g., an expanded or clarified discussion of certain Principles, Principles that do not seem to be relevant, possible new Principles and so on.

FOR GP INDICATORS & WORKSHEET

Offer any suggestions for improving (e.g., tightening up, reformulating, eliminating, replacing) the Indicators that correspond to the Guiding Principles. This could be done in the form of stand-alone comments, and/or track changes made to the present Worksheet.

¹⁴ Alternatively you may find it more convenient to combine the recommendations that are city-specific with those that concern the underlying planning process. In fact this was what was done in the Vilankulo Assessment Report.



4

SUGGESTED TABLE OF CONTENTS FOR ASSESSMENT REPORT

[For a sample use of this Table of Contents, see Vilankulo Assessment Report]

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Introduction to Guiding Principles for City Climate Action Planning

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Accompanied Mission – (City)	
Climate Action Planning at City and Country Levels.....	

2. Guiding principles indicator summary [use indicator summary sheet]

3. Application of Guiding Principles [Narrative, Qualitative Discussion]

PRINCIPLE 1 – AMBITIOUS	
PRINCIPLE 2 – INCLUSIVE	
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PRINCIPLE 8.1 – TRANSPARENT	
PRINCIPLE 8.2 – VERIFIABLE.....	

4. Recommendations

Annex (As Needed)



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Email: ccci@unhabitat.org

Other resources:

www.unhabitat.org/cop21-guiding-principles-for-city-climate-action-planning-annex/

www.unhabitat.org/urban-initiatives/initiatives-programmes/cities-and-climate-change-initiative/

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