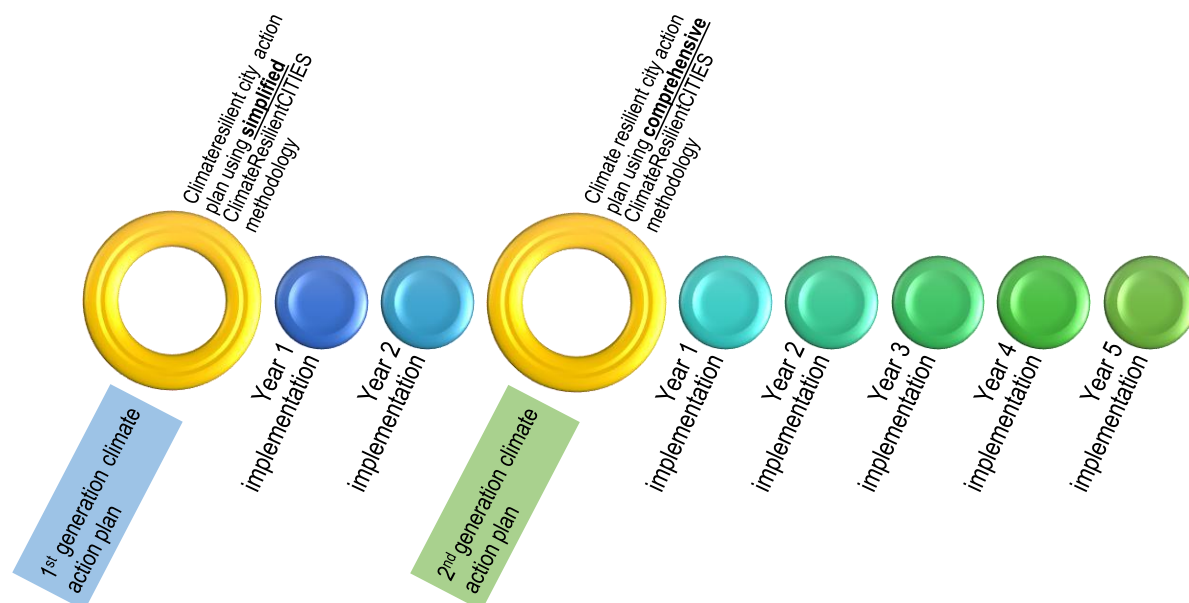


Simplified ClimateResilientCITIES Methodology

The **Simplified ClimateResilientCITIES Methodology** is a tailor made process for Local Governments (LGs), providing step by step guidance to prepare, implement and monitor Climate Resilient City Action Plans, to support LGs in their endeavour to move towards climate resilient development.

LGs could choose to initiate climate action by adopting a simplified 3-phase, 5-step process, defined by the **Simplified ClimateResilientCITIES Methodology**. This methodology is based on a pre-defined set of comprehensive climate actions that are presented in the Basket of Solutions tool. It is envisaged that the simplified methodology would support the city in preparing a quick climate action plan within 3 months, that is to be implemented over a two year period, with detailed annual action plans.

Cities should subsequently endeavour to adopt a more comprehensive climate action planning methodology – **the ClimateResilientCities Methodology**, which is the basis for the Simplified Methodology. It is to be noted that the comprehensive ClimateResilientCities Methodology meets international climate action planning guidelines such as that of the Global Covenant for Climate and Energy and is based on detailed assessments of the greenhouse gas emissions and climate vulnerabilities of the city. Towards the second semester of year 2 of the action planning process, the LG should consider adopting the comprehensive planning process. Ongoing implementation of actions from the initial action plan, should continue in subsequent climate action planning cycles, as per already defined timelines.



The **Simplified ClimateResilientCITIES Methodology** allows cities to quickly embark on a path of climate resilience. Through a process that consists of three phases – **Analyse, Act and Accelerate**, it guides the LGs through a process that includes 5 steps:

- **Commit & Mobilise:** Secure initial commitment and set up institutional structures
- **Assess and Prioritise:** Assess local context and baseline climate performance assessment
- **Develop Climate Action Plan and Approve:** Identify climate actions, allocate budget and approve climate action targets
- **Implement & Monitor Locally:** Implementing and monitoring approved climate targets and

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- **Review & Scale-up:** Annual evaluation of climate performance and scaling-up and/or enhancing climate action

This simplified methodology consists of 7 tools that guide the LGs through the 5 steps. The tools support LGs in setting up institutional mechanisms to undertake a baseline climate assessment, identify climate actions, define targets, allocate budget for implementation, monitor implementation of climate actions and assess climate performance annually. These tools are listed below:

Tool 1: City Commitment Announcement

Tool 2: Climate Core Team and Stakeholder Consultation

Tool 3: City Profile

Tool 4: Basket of Solutions

Tool 5: Identification of Climate Actions and Budget Allocation

Tool 6: Approval for Climate Actions

Tool 7: Implementing and Monitoring Framework

Pre-defined climate actions included in the Basket of Solutions also consider and are in sync with the indicators included in the Climate Smart City Assessment Framework and the Livability Index, initiated and implemented by the Ministry of Housing and Urban Affairs, Government of India.

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Each of the five steps of the **Simplified ClimateResilientCITIES Methodology** unfolds into two sub-steps - outlining how **climate performance** can be assessed and climate resilient actions (**to achieve low emission development and climate adaptive development**) can be identified and integrated into city development policies, plans, municipal budget and implementation process.

Phase One: ANALYSE

AIM: The “Analyse” Phase informs policy and strategic decision-making at the start of the process (or the review phase for advanced LGs). In this phase, LGs commit to implement climate action and to setting up institutional mechanisms for developing and implementing the Climate Resilient City Action Plan.

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PRIMARY OUTPUTS:

- LG Announcement indicating commitment to address climate change issues through climate resilient action planning
- Formation of Climate Core Team and Stakeholder Committee
- City profile is prepared, including basic information of LG services and service levels of urban system infrastructure
- Baseline climate performance is assessed

Step 1: Commit and mobilize

1.1: Secure Initial Commitment

- This step is vital to ensure senior political and local government buy-in to initiate the process of preparing and implementing an action plan for climate resilient development of the city.
- Consensus should be built within the LG to adopt the **Simplified ClimateResilientCITIES Methodology**
- The LG should announce its commitment to climate resilient development, through identification, implementation and monitoring of climate actions. If already determined, the target and period of implementation of the LG's climate action plan may also be included in the Mayoral Announcement. (*Tool 1: City Commitment/ Announcement*)

1.2: Set up Institutional Structures

- A Climate Core Team is constituted with representatives from LG departments who have responsibilities for and impact on different aspects of city development, such as development planning, cooperation and communication with the community and stakeholders, buildings, energy use, pollution, waste, food security, biodiversity, water security, public health, local economic development, infrastructure, and transport. It is important to identify a Project Nodal Officer for the core team who can be the focal point for the climate action planning process in the city, including implementation and monitoring of identified climate actions. The Core team would also be a part of the stakeholder committee.
- Identifying and involving key individuals/community representatives and special focus groups like, city representatives from various departments (Climate Core Team), government agencies, local NGOs – particularly those representing women, slum dwellers, children, university partners and private sector organizations, at a beginning is necessary for larger adoption and long term sustenance. The intention is to foster crucial partnerships, work with external groups and promote ownership of the Climate Actions within the LGs as well as the community. Therefore, a Stakeholder Committee is formed. Ideally the stakeholder committee, once nominated, is officially notified by either the administrative or political head or equivalent authority of the LG. However, the Committee is not static and is liable to change when new stakeholders are identified. A nodal officer shall be identified and appointed by LG, who shall initiate regular engagement and communication between all stakeholders for baseline city assessment, identification of climate actions, setting up targets, implementation of actions and monitoring. (*Tool 2: Stakeholder Consultation*)

Step 2: Assess and Prioritise

2.1: City Profile (urban sector profile)

This step explores the local urban context including ongoing projects/ policies/ regulations, governance, general information about city, location and climate, demography, urban system, and economic, social and environmental contexts at local level, which would impact climate resilient development in the city.

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- This step supports LG to provide relevant general information of the city including urban system delivery status, which may be helpful to identify local issues with respect to the environment and urban development (socio-economic status, demography, municipal services, energy consumption (electricity and fuel) within the city limits).
- The city profile template is used to steer the collection and assessment of requisite information (*Tool 3: City Profile*).
- An assessment of the city development status, as captured in the city profile, will provide critical information required to prioritise climate actions.

2.2: Baseline Climate Performance Assessment

In this step the LG assesses its climate performance in a defined/ baseline year. The Basket of Solutions tool (Tool 4) is used to guide this assessment. .

- The LG, in the initial stages of the climate action planning process, assesses its baseline climate performance to gain an understanding of the starting point of the climate action planning process.
- This baseline climate performance is viewed in the context of the city development profile and forms the basis for prioritisation of climate actions.
- The Basket of Solutions tool provides a simplified framework for assessing the climate performance baseline. The LG benchmarks itself against a set of climate actions included in the BoS. After gaining an understanding of the climate actions being currently implemented, the LG proceeds to choose a further set of actions, from among the climate actions pre-defined in the Basket of Solutions. These set of actions would constitute the new climate resilient city action plan (CRCAP) that the LG intends to develop, implement and monitor. This tool also enables benchmarking of performance vis-à-vis the climate actions targeted in the CRCAP, in subsequent steps.

The Basket of Solutions tool consists of a set of 38 climate actions, across 9 areas/sectors. Each climate action is further graded into 4 categories; Each of the grades addresses a critical step in the implementation of the entire climate action, starting from planning to design to implementation and monitoring. Grade 4 corresponds to the full implementation and monitoring of the selected climate action. The BoS also indicates, for each climate action, the relevant evidentiary documentation that would need to be recorded during the course of executing the climate action. This documentation could then be used for monitoring, reporting and also verification of climate performance in subsequent years.

The BoS is designed to support the LGs in:

- Conducting an initial evaluation of climate performance, vis-à-vis the 38 climate actions included in the tool.
- Annual monitoring of the defined climate action plan
- Developing future CRCAPs, post implementation of the city's first Climate Resilient City Action Plan.

The BoS allows city's the flexibility to choose relevant climate actions and define the action plan accordingly. As a monitoring tool, the city can benchmark itself against its own targeted performance. For each of the 4 grades for each climate action, scores are assigned and based on the achievement of targeted grade, at the end of each annual review the city, a consolidated score is assigned to the city. The grades are designed to help a city evaluate itself on climate action.

38 climate actions are proposed in the BoS, corresponding to 9 topics, which are listed below:

- I. Procurement and Finance (2 topics)
- II. City Planning (4 topics)
- III. Cooperation and Communication (3 topics)
- IV. Buildings (5 topics)
- V. Mobility (9 topics)
- VI. Waste (4 topics)
- VII. Water and Sewage (6 topics)
- VIII. Urban Biodiversity (2 topics)
- IX. Energy/Energy-Infrastructure (3 topics)

Phase Two: ACT

AIM: Based on the city commitment to pursue climate resilient development, the **Act Phase**, outlines the process to be adopted for planning, implementing, and monitoring climate actions. Monitoring mechanisms that encompass technical approaches and institutional processes are also defined and adopted.

PRIMARY OUTPUTS:

- A 3 year Climate Resilient City Action Plan is prepared through a stakeholder consultation process. The CRCAP specifies the climate actions to be implemented and corresponding grades to be achieved. Grades are defined in the BoS.
- Official approval is accorded to the CRCAP, setting the stage for commencing implementation of climate actions
- Implementation of identified climate actions (adaptation and mitigation) is completed and monitoring is commenced

Step-3: Develop Climate Action Plan and Approve

3.1: Identify Climate Actions and Allocate Resources

This step enables LGs to select relevant climate actions from the BoS and identify the grade to be achieved for them. These climate actions and grades together are summarised in the climate action plan and are expressed as a qualitative target.

- In this step the LG, based on information from the baseline assessment, selects specific climate actions from among the 9 topics/sectors included in the BoS. For each climate action, based on the starting point, as identified in the Baseline Climate Performance Assessment, the desired progression in terms of the grades is defined.
 - For each selected climate action and target grade, an implementation timeframe is defined
 - Required resources, including internal and external expertise and corresponding budget are assessed and defined.
 - The climate action plan, consisting of all above elements is further detailed into annual climate action plans, which are backed by an appropriate budget from the Local Government on an annual basis..
- Tool 5: Identification of Climate Actions and Budget Allocation guides this process.

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3.2: Approve Climate Actions

The LG, through an approval by the administrative or political head of the LG, adopts the defined Climate Resilient Climate Action Plan. The CRCAP is discussed with the political representatives of the LG before approval/adoption. The approval is accorded after all relevant inputs from the stakeholder Committee, the Climate Core Team and the political governing body of the LG are addressed.

- The CRCAP that is prepared by the LG is approved through an official notification. *Tool 6: Ratification of Climate Actions and Targets*. The approval of the CRCAP is necessary for successful and timely implementation of identified climate actions through allocation of appropriate resources.
- The approval also indicates the City's intent to monitor and evaluate its climate performance on an annual basis. This monitoring would provide the requisite information for future review of action plan implementation and further scale-up and or enhancement.

Step 4: Implement and Monitor Locally

4.1: Implementation of Climate Actions

- Approved climate actions are to be implemented according to stated timelines, always making adjustments for changing on-ground situations, especially in cases of a delay in start of implementation or time over-run during implementation.
- New internal capacity building measures and governance arrangements required are identified and addressed to enable implementation of climate actions.
- Each department is represented in the Climate Core Team through a departmental representative, usually senior officers. For each climate action to be implemented, the responsible department and a responsible staff from the department are identified. The assigned officer reports on project implementation to the departmental head/senior officer who is a Climate Core Team member, who in turn reports to the Nodal Officer of the Core Team.
- The assigned project officer and the department head ensure that the project is sufficiently resourced and necessary expertise is made available through appropriate procurement processes.

4.2: Monitor Implementation Status of Climate Actions

This step involves the development and adoption of a monitoring and reporting framework for all climate actions included in the CRCAP, with an aim to track implementation progress.

- A relevant institutional set up is very important for effective implementation of a monitoring framework. The Climate Core Team is responsible for monitoring the implementation of the CRCAP.
- Each department tasked with implementation of certain climate actions in the CRCAP should prepare milestones to achieve stated targets for each climate action they are responsible for. These milestones are to be monitored on a monthly basis at the departmental level and on a quarterly basis in the Climate Core Team. *Tool 7: Implementation and Monitoring Framework* provides a generic framework for this monitoring.
- Monitoring tools specific to each climate action are to be developed by the department with assistance from relevant experts.

Phase Three: ACCELERATE

AIM: The "Accelerate" Phase outlines the process of conducting annual or end-of-plan reviews and further scaling-up or enhancing climate action, either by continuing with project implementation in year 2 and year 3 of the current planning cycle or by accelerating action by moving into the second/subsequent generation of climate action planning, resulting in either a scale-up or enhancement of climate actions.

PRIMARY OUTPUTS:

- Annual review of climate performance of the city vis-à-vis the targets in the CRCAP
- Scale-up/enhance climate actions, enlarging climate ambition of the City

Step-5: Review & Enhance

5.1: Annual Evaluation of Climate Performance

This step enables the LG to monitor the overall climate performance of the city each year vis-à-vis the targets in the CRCAP.

- The monitoring and review framework created in step 4 would be used to monitor overall implementation of projects.
- The results from Tool 7: Implementation and monitoring framework will be summarised in the Climate Core Team meeting towards the end of the year, in addition to the review of achievement of specific targets included in the CRCAP; Tool 4: Basket of Solutions is used to conduct this review towards the end of the annual planning year.
- This annual evaluation process is carried out in each of the three implementation years of the CRCAP.
- Results from the evaluation are used in streamlining the action plan for subsequent years, within a planning cycle. *Tool 5: Identification of Climate Action and Budget Allocation* would support the city in detailing out the climate actions in subsequent years of the planning cycle. Towards the end of the planning cycle, this information is used to inform the next generation of CRCAP.

5.2: Enhance Climate Actions

- At the end of each planning cycle (3 years) the city chooses either to continue to use the **Simplified ClimateResilientCITIES Methodology** or transitions to adopting the comprehensive ClimateResilientCITIES methodology.
- Should the City choose to continue to use the **Simplified ClimateResilientCITIES Methodology**, the City takes a relook at its Commitment and reassess its City Profile and Climate Performance Baseline to arrive at a more ambitious CRCAP that is sufficiently resourced and appropriately managed.

Tools that support the adoption of the **Simplified ClimateResilientCITIES Methodology** are attached as annexes.